DOCUMENT RESUME

ED 033 646 HE 001 112

TITLE	Fund Raising for the Small College. Papers presented at the 13th Annual CASC Workshop.
INSTITUTION	Council for the Advancement of Small Colleges, Washington, D.C.
Pub Date	68
Note	37p.
EDRS Price	EDRS Price MF-$0.25 HC-$1.95
Descriptors	Alumni, *Colleges, *Developmental Programs, Federal Aid, *Financial Support, Foundation Programs, *Higher Education, Industry, Private Colleges, Private Financial Support, School Industry Relationship, *Small Schools

Abstract

Small private colleges are in the midst of a grave financial crisis that may force mergers and even closures in some cases. The purpose of this workshop was to suggest and discuss solutions to the fund-raising problems of small private colleges. The first three papers deal with the roles of the development office and development officer, the implications of long-range planning for the development program, and the identification and cultivation of constituencies. In other papers, the cultivation of federal, alumni, foundation, and corporate support are discussed by individuals representing organizations in each of these areas. Finally, in "Where Do We Go From Here?" the Workshop Chairman urges more concerted and direct action on the part of all those involved in small college fund-raising. (DS)

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CASC

FUND RAISING FOR THE SMALL COLLEGE

Papers Presented at the 13th Annual CASC Workshop

HE 001 112

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
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THE COUNCIL FOR THE ADVANCEMENT OF SMALL COLLEGES
1346 CONNECTICUT AVENUE, N. W., WASHINGTON, D.C. 20036

The 1968 CASC Summer Workshop had as its theme "Effective Fund-Raising." Its purpose was to suggest and discuss some practical knowledge aimed at the solution of fund-raising problems of the small, private college. This selection of papers from the Workshop provides some helpful guidelines for successful fund-raising for all who are involved in the development of our smaller, private colleges.

ACKNOWLEDGEMENT

The Board of Directors and member colleges of CASC gratefully express their appreciation to the following corporate and general foundations for financial support of the 1968 CASC Summer Workshop.

The Anaconda Company

The C.I.T. Foundation, Inc.

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The S & H Foundation, Inc.

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The publication of this report has been aided by a generous grant from Shell Companies Foundation, Inc.

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CONTENTS

The Development Office and the Development Officer
Billy O. Wireman

Long-Range Planning — Its Implications for Development
Sharvy G. Umbeck

Identification and Cultivation of Constituencies
John E. Bennett

Federal Support for Small Colleges
Paul H. Carnell

Developing Alumni Support for Small Colleges
Stanley R. McAnally

Foundation Approaches for Small Colleges
Maxwell Hahn

Developing Corporate Support for Small Colleges
William F. Leonard

Now What? Where Do We Go From Here?
E. Bruce Heilman

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BILLY O. WIREMAN

The Development Office and the Development Officer

The movement of colleges and universities from the quiet eddies into the swift waters which flow in the mainstream of American life is one of the most significant developments in American society over the past few years. From two million in 1950, college enrollments mushroomed spectacularly to six million in 1968. As Martin Meyerson put it, the college student has moved from being one of the "happy few" to one of the "frustrated many." This enormous increase in enrollments has forced many sweeping changes on institutions of higher learning.

The result is that in higher education we find presently a certain "crisis mentality." Growing out of this mood we find two major revolutions in colleges and universities. One of these concerns program, curriculum, structure and the very relevance of the educational experience itself. This revolution is extremely important and interesting but it is not the focus of our concerns in this workshop. Our concerns today center in how institutions of higher learning have been forced by this crisis to seek new and more imaginative ways to fund themselves.

Time was, in the not too distant past, when the president did virtually all of the fund-raising for his institution. But this day is no more. The increasing complexity of his official business and the resultant extraordinary demands upon his time make impossible the simple life as described by Philander Chase, founder of Kenyon College:

> "The King, the Queen, the lords, the earls,
> They gave their crowns, they gave their pearls,
> Until Philander had enough
> And hurried homeward with the stuff.
>
> He built the college, built the dam,
> He milked the cow, he smoked the ham
> He taught the classes, rang the bell,
> And spanked the naughty freshmen well."

This concept of the presidency is now just a pleasant memory. While the president is still perhaps the college's most effective fund-raiser, Boards of Trustees, in the face of mounting costs, have more and more turned to a staff function and responsibility to cause money to be raised. Thus the development concept was conceived. Born in the fertile soil of economic imperative and rushed by necessity to a hasty but ill-defined maturity, college and university development is a profession in quest of itself. Long a neglected member of the academic hierarchy, college and university development as a profession is now coming into its own.

Saturday Review, in its December 16, 1967 issue, brought into sharp focus the growth of development:

> "In the last ten years, as the resources and needs of higher education have multiplied, the process of securing new funds has developed into a specialized discipline so widespread that it now seems almost a conventional academic exercise. As an exercise, however, it is rigorous in the extreme. It is known as 'The Campaign.' Although colleges have conducted organized fund drives for more than half a century, the earlier efforts, run largely by amateurs on the basis of charity, pale beside the scope and intensity of the Campaign. The Campaign is run, not on the rhetoric of poverty, but by convincing prospective donors of the strength of the institution to which they are asked to give. As any of the thousands of persons who have taken part in the experience knows, The Campaign is no brief, peripheral fanfare of fund-raising techniques. Rather it represents for a college what one of its sociologists might call a major adaptive response of the whole institution."

This represents a sweeping change from the occasional fund-raising campaign which was prevalent only a few years ago.

A Concept of Development

Since college development is here to stay, it is important that we establish a literature and philosophy for the profession. For every profession or discipline must have a wellspring from which it draws sustenance. It is therefore important that we first establish a concept of development.

The following definition might well be our point of departure:

> "It should be borne in mind that development is not just a statistical concept of inputs and outputs, nor a mechanical process that has only to be put into motion. It is a matter of organic growth—in essence the process of allowing and encouraging a college community to meet its own aspirations. It moves around a central pivot which is the *collective college will.* It involves basic changes in attitudes and values, adoption of new habits of thought and promotion of new aptitudes."

The key word in this definition is "process" and this process must involve the entire college community.

As a concept, development is institution-wide. It requires a very close relationship with the academic and business divisions, especially the academic. Educational goals must be established, academic blueprints outlined, and ways of implementing policies thought through very carefully. The business operation of the institution is involved, as the wise conservation of resources and sound fiscal procedures are necessary to long-term growth and stability.

Generally, development is an effort on the part of the entire institution to analyze critically its educational philosophy, and program specific steps which must be taken to realize that philosophy. It is important that all faculty and key administrative personnel understand the development concept, for if the institution is to reach its highest destiny, its major spokesmen must understand and be able to articulate its basic mission and philosophy.

Specifically, the development concept implies that the college must be prepared to generate and accept any gift of any kind which can help undergird its financial needs. The methods employed are many, but essentially it is the responsibility of development to create a "climate of acceptance" among the college's various constituencies. Hopefully, this "climate" will generate support, financial and otherwise, as will be necessary to move the institution along its chosen path. The methods used in creating this "climate" must be creative and aggressive, yet fitting and dignified. They must insure that every possible source is actively cultivated and that individuals and groups are shown how they can give to their advantage, through gifts of cash, stocks, property, wills, life annuities, life income contracts and other appropriate methods.

Once this concept is firmly established in your own mind, there are a number of important steps which must be taken to insure maximum effectiveness for your development office.

Understanding the Role of Development

The *first* of these has to do with how the president and the Board perceives the role of development. And here I would like to make a statement with which many of my colleagues in the development profession disagree. While development officers do solicit directly, technically their responsibility is much larger than this—it is to cause money to be raised by other people—by volunteers. Consequently, in the strictest sense, development officers do not raise money, but rather they cause it to be raised. This is true because we know that money is raised by important people asking other important people who operate in their same sphere of influence to join in a cause which is dear to the both of them.

This is why it is so critically important that the president and Board and the development officer have a mutual understanding of what is expected of the development operation. Because the development operation at any college or university will be essentially what the president wants it to be, the first step for the development officer is to determine from the president what he expects. The development officer should explain to the president that development must be an institutional process, much broader than just an occasional fund-raising campaign. Moreover, he should encourage the president to have the Board adopt this concept. This is the very heart of the successful development operation. Without a clear understanding of the concept, no matter what is done next, the potential of a particular college is not being realized.

It would be difficult to overemphasize the importance of having the Board adopt this policy as the philosophy by which the development office will proceed. One thing is certain. The day the president or board member asks the development officer how much money he has raised, that day he can be sure he is operating on the wrong principle. I emphasize again the absolute necessity for getting this development concept understood and accepted by all members of the college community.

It is important that the faculty understand this. I find that faculty resentment to development efforts decrease in proportion to the amount of money raised which goes into faculty salaries. I would not be too optimistic about the faculty fully accepting and understanding the concept, but it is nonetheless important that they realize that your efforts are being spent on behalf of their families and professional careers.

Too, student leaders should be made aware of the true function of the development office. But by far the most critical relationship is the development office-president-board of trustees. This is the matrix out of which things happen.

Inspiration and Organization

Once this concept has been firmly established in the minds of the president and the Board, faculty and students, the next step is implementation. So we arrive at the *second* important principle.

Development offices must operate on two very important, mutually dependent, mutually enriching concepts: *Inspiration* and *Organization.* It would be difficult to say which of these is more important. If I had to choose, I would take, *Inspiration.* My reasons for this go deep into the basic laws of human nature. The most fundamental law is stated by the distinguished American psychologist, Gardner Murphy, who said:

> ". . . the self comprises all the precious things and persons who are relevant to an individual's life, so that the term, selfish, loses its original connotations and the proposition that man is selfish resolves itself into the circular statement that people are concerned with the things they are concerned with."

"People are concerned with the things they are concerned with." This is disgustingly simple but speaks volumes to the development officer. Our responsibility is to inspire people to become concerned with our institutions. So the development office thrust must have an inspirational base related to the broader purpose of the institution for which the money is being raised. What we are really talking about in relating the rationale of a particular institution to a program of support is the "case." The "case" simply spells out the compelling reasons why this particular institution needs funds to carry out worthwhile programs.

Let us remember, that when we talk about colleges and universities and hospitals we are really talking about movement and men. And any successful movement depends upon the degree to which individuals will invest their time and talent and money and give priority to the movement's purposes over *other competing pressures for loyalties*. The future of many institutions, especially those which are private, may well rest with the institution's capacity to foster that kind of loyalty.

Dr. E. Bruce Heilman, a long-time friend and President of Meredith College, states:

> "All through history the proper challenge has caused men and women to strive impatiently and restlessly for results which appear worthwhile to them. In the process, they have achieved great religious insights, created works of art, uncovered secrets of the universe, and established standards of conduct. In his book, *Excellence* John Gardner has written, 'The best kept secret in America today is that people would rather work hard for something they believe in than enjoy a pampered idleness.' There are many able men who are looking for a cause to support. for worlds to conquer, for something to work toward. . . ."

When we examine a movement we must look at man and his motivations. It is easy in development to bog down in charts and mechanics and procedures. And make no mistake about it. A successful development operation cannot be built on a sloppy organization and inefficient procedures. But first of all, people must come to believe in what the institution is trying to do. We are really dealing with a person's "will" more than his "intelligence." No less an observer of human behavior than Sigmund Freud made the following point:

> "Students of human nature and philosophers have long taught us that we are mistaken in regarding our intelligence as an independent force and in overlooking its dependence upon the emotional life. Our intelligence, they tell us, can function reliably only when it is removed from the influences of strong emotional impulses. Otherwise, it behaves merely as an instrument of the will and delivers the inference which the will requires. Thus, in their view, logical arguments are impotent against affective interests, and that is why reasons, which, in Falstaff's phrase, are, 'as plenty as blackberries,' produce so few victories in the conflict with interests. Psychoanalytic experience has, if possible, further confirmed this statement."

Many other philosophers have addressed themselves to various motivating forces in people. Thomas Hobbes, for example, held that men were impelled by their passions and guided by their reason. Passion is the wind that fills the sails, reason the hand on the rudder. Robert Dial, in his perceptive little book, *Modern Political Analysis,* puts it another way: "Man is a chariot, pulled by the wild horses of passion and steered by reason." The point is clear and I repeat it for emphasis: The first principle of human motivation is that people work for causes which are dear to them, ones which reflect their emotions and philosophic values. We must, therefore, relate our institutions to peoples' value systems. Major gifts are by-products of this relationship. But it is important to remember that inspiration and emotional involvement cannot exist in a vacuum. So once we have decided what the institution is trying to do, in over-simplified, almost Utopian terms, then we must make these goals manifest through people—through students, or professors, or key administrators or alumni. There are hundreds of stories to be told and a personal testimony from a student who has found meaning and purpose at your school is infinitely more important and significant than a thousand campaign brochures speaking in abstract terms. Letting a professor explain his research will have far more impact than saying, "we have a quality faculty." Again I repeat for emphasis. Goals and aspirations and emotional involvement can only be related to people. So it is important that once the development thrust has been pitched at an inspirational level, we make the development goals take on a sense of immediacy and relevancy through students, faculty and alumni.

Next, I want to emphasize that once this inspirational base has been established and people who are actually involved in the program are telling the story, the possibilities of success can be strengthened enormously by establishing a sound organization run by efficient procedures. Nothing will contribute to a successful development thrust like meetings that start on time, reports that are concise and brief, a strategic announcement of key gifts. And by the same token, no development program can succeed, no matter how inspirational the cause, if it is bogged down in poor organization. Poor organization is a sure-fire vaccination for low morale.

We have now established that development as a concept must be understood by the president, the board, the faculty and hopefully the students. Next we discussed the implementation of this concept through a combination of inspiration and organization.

The Development Officer

Now let us turn to the development officer.

As important as the development officer is at a college, he must nonetheless realize that the heart of the college is its academic program and education is its main business. If we define education as the attempt to release the full creative potential of every individual, then the role of the faculty assumes paramount importance. This is true because the faculty member is the official contact with the student, and consequently, he exerts more educational

influence on him than any other member of the college community. This basic truth dictates that all activities, other than academic, be primarily supportive in nature. An acceptance of this role is prerequisite to become an effective development officer.

Frank Ashmore, vice president for institutional advancement of Duke University, in speaking of the development officer, puts it this way:

> "He is the servant of the faculty. The only reason for his position is to provide a better opportunity for the faculty to do its job . . . In the final analysis, the development officer should stay around only as long as he can be an enthusiastic and willing and believing and zealous servant of the institution, of its ideal and its faculty."

But in his primary role, the professor must have many dedicated people working in the background. Thus, an acceptance of this relationship with the faculty does not in any manner diminish the importance of the critically significant function which the development officer enjoys in the total college community. Indeed, the future of many institutions, especially those which are private, may well rest with the ability of the development officer to bring the tragic consequences of its plight to a seemingly unconcerned public. Ponder, for example, the somber tone of the following quote from *Public Concepts of the Values and Costs of Higher Education:*

> "It is obvious that within the next few years the contributions of the traditional sources of support . . . will prove to be deficient. Regardless of which projection of future enrollments one employs there will be a substantial gap by 1970 between required expenditures and expected financial support . . . Considering the anticipated future demands for higher education . . . there will not be enough money available by 1970-71 and particularly by 1975-76, to maintain the current standards of quality higher education while educating the greatly augmented number of new college applicants. To overcome this deficit the nation must either curtail the quality or quantity of its program of higher education, greatly increase the contributions from the traditional sources of support, or make some radical change in the current method of financing higher education."

So, while the faculty's role in determining the quality and effectiveness of the academic program is unquestioned, it remains to the development officer to generate sufficient money whereby this quality can be maintained and enhanced in a manner befitting its dignity. The amounts required for quality higher education will be great indeed, and at this point, Sidney G. Tickton, of the Academy for Educational Development and a perceptive observer of educational trends, asks a pertinent question: "Can the country afford such expenditures for higher education? . . . The answer is clear, he continues, "certainly the country can—if its people are willing to allocate the additional dollars that will be required . . . Financing higher education is, therefore, a problem of policy, not of resources."

In view of this, the development officer's prime responsibility, in its broadest sense, is to influence favorably public policy and attitudes toward higher education. Only by knowing his own particular college in depth and being committed to its purposes can the development officer fulfill this task and thus help the president and board of trustees turn past experience into foresight and thereby permit the college to be the creator of its future and not a slave to its past.

More than any other member of the college community, the development officer interprets the college and its purposes to the business community and general public. What a delightful and relatively easy task this would be if the general public had a basic understanding of the workings and importance of higher education. But unfortunately it does not. For as former U.S. Commissioner of Education, Francis Keppel states: "We overestimate the public awareness of the aims and problems of higher education." James B. Conant agrees: "The average American gives little attention to what goes on in schools and colleges outside his immediate sphere of interest."

This general lack of understanding makes the development officer's task considerably more difficult but it does not remove the necessity for continuing to interpret the importance of higher education—and interpret it in an articulate, convincing and interesting manner. In dealing with the general public on the importance of higher education, the development officer should view himself less as a "salesman," more as an "educational entrepreneur or statesman," less as "moving a product," more as developing in people with whom he comes in contact an understanding of the decisive role which education plays in maintaining a free society. This requires that he, first of all, have a deep commitment to the importance of higher education, and more specifically, know how it is related to the future welfare of the local community, state and nation.

Besides this key qualification, the development officer should:

1) know the unique characteristics of his own particular college and be able to explain these in a simple and interesting manner. He should familiarize himself completely with the ideals, needs, structure and operations of his college so that his discussions with outsiders will be exact, authoritative and constructive;
2) keep himself abreast of the latest developments in his particular area and seek to stay fresh and up-to-date in his approach;
3) exhibit those qualities of honesty, integrity, compassion and tolerance which are necessary to sustain success in any area;
4) be willing and able to speak authoritatively to civic and educational groups, not only on his own area of specialization, but on the college and higher education in general;
5) be a "self starter" and show initiative in carrying out his responsibilities;
6) last, but certainly not least, the development officer must understand the fundamental sales technique of how to "close." We must remember that we get money by asking for it, and that in development,

as in business, nothing happens until a sale is made. I have seen many potentially good development officers flounder on this very important point. Do not be afraid or hesitate about looking the potential donor in the eye and asking him for a major gift. This is the payoff. If you don't feel you need the money, how can he? I have yet to see a person embarrassed by having asked for too much. No matter how just the cause and compelling the presentation, if you fail to "close," then all is for naught.

In addition to these qualities which I have listed, Harold J. Seymour, the elder statesman of fund-raising, lists three more which I would like to emphasize:

"Generally, development people should cultivate three key attributes.

"First, there is a kind of liveliness that generates and communicates enthusiasm, knows and likes people by instinct and preference, exhibits a genuine kind of pleasure and gratitude for good advice and wise talk, and bears proudly the mantle of the job.

"Then there is sensitivity—to people, to ideas, to environments—without which, in some adequate degree, failure in this or any field of personal service is almost certain.

"And the third value to be nurtured is perspective. Perspective means a lot of things to development officers, and all the things mean a lot. It means, for instance, that you never overlook the law of diminishing returns, that choices always have to be made between what is desirable and what is really necessary, and especially that the good laws and principles of organized fund-raising are a priceless gift of the long years and can be ignored or trifled with at your peril.

"Perspective is important too in the area of personal advancement. For your role in this field is out in the wings and not stage center. Your joys must be vicarious, and you must learn that they can be all the sweeter thereby. Let me repeat what you should remember in your own self interest—that to seek credit is to lose it and that to disclaim credit is usually to win more than you probably deserve."

The foregoing qualifications assume that the development officer will become actively involved in the total life of the college. Only by being aflame with confidence and faith in the validity of the college and its ideals can both he and the college develop what David Riesman calls, "the nerve of failure," a term he defines as "the courage to accept the possibility of defeat, of failure, without being morally crushed."

Failure, the development officer must see as being particular and not general; as temporary, not permanent. Indeed, permanent failure he must view as unthinkable.

A negative but effective framework for the development officer's thinking is to constantly seek an answer to the question, "What would be lost if my college closed?" A serious answer to this question requires that he know the college in detail, for one cannot promote and defend that with which he is not familiar, or does not understand, or that in which he is not totally involved.

Henry Wriston, writing in *Academic Procession,* lists two basic rules of college administration. First, he says college administrators must realize that they do not have a "product" but they exist to develop people. Secondly, and growing out of this basic truth, is the fact that the machinery through which a college achieves its ends is composed of people. Wriston further sharpens the nature of a college by stating that its "central objective is the cultivation of the mind." Development officers who accept this basic truth and can relate its significance to possible sources of support are priceless and will be around for a long time. Those who do not, however well-intentioned they might be, are doomed to failure. This is as it should be.

SHARVY G. UMBECK

Long-Range Planning– Its Implications for Development

Certainly, it is not necessary to remind this audience that for liberal arts colleges everywhere these are days of difficult and profoundly important decisions. The hard, complex facts of the contemporay education scene present no easy alternatives. Those colleges whose trustees, faculty and staff have the vigor, imagination and courage to make the tough and sometimes unpleasant decisions that are essential, and to implement these decisions effectively, face a future of unprecedented opportunity. On the other hand, those colleges which, for one reason or another, fail to face up to these decisions are entering a future in which declining institutional significance and effectiveness is assured.

It is paradoxical that this momentous period of decision should occur at that very time in our history when most colleges have more students and better students than ever before, when we have more faculty and better faculty, more buildings and better buildings, when salaries are significantly higher, when financial support, making full allowance for inflation, is dramatically improved, when public concern for higher education is at an all-time high —at such a moment, the day of judgment is upon us.

A broad spectrum of institutional adjustments will appear in the responses which colleges make to the compelling social forces and factors of contemporary society. Some colleges will continue to grow in stature and in strength and in service to their objectives. Some private colleges will become tax-supported institutions. Some colleges will make radical shifts in their central purposes and objectives, and thereby change their basic character. Some will merge with other colleges. Some, perhaps many, will continue to operate as weak, relatively ineffective institutions. And still others will die. In most cases, the difference will be a result of the vigor, the imagination, the creativity and the effectiveness of college management.

By this time, August 1968, it should be apparent to everyone that the day of the leisurely moving, relatively unchanging college of the "old siwash" prototype is rapidly disappearing. In a period of history that is unrivalled with reference to the rapidity with which new precedents are being established, the modern college must be nimble, adaptable, vigorous, sensitive to new and changing educational demands. Stimulated by the incredible speed of technological development, the pace of social change becomes more and more rapid. No longer can institutional stability be projected in firm, solid, fixed, "rock of Gibraltar" terms. Today we must think, rather, in terms of the stability of a man riding a bicycle. He is assailed constantly by forces which pull him to the left or to the right. He maintains his equilibrium, his stability, if you please, only by moving ahead—by moving ahead faster and faster.

Good College Management Demanded

Similarly, colleges can maintain their stability and effectiveness only by moving ahead faster and faster. This business of moving ahead involves internal vigor, a sense of direction, realistic assessment of complicating forces and factors. In other words, moving ahead increasingly demands good college management.

With the men and women in this audience, I do not have to build a case for the growing importance of good management. Fresh in our memories are astounding corporate tragedies transpiring in periods of economic prosperity and growth—Colliers magazine, Capital Airlines, Packard Automobiles, etc. From a layman's point of view, the product appeared to be good, the market was expanding, the failure seems to have been in management.

A few years ago, an experienced, competent, respected, knowledgeable observer of the American educational scene told me that he is increasingly dismayed by the inadequate management practices of many of our institutions. Especially discouraging, he pointed out, is the fact that, in most cases, there is no awareness of the inadequacy—no sensitivity to the weakness—"they know not that they know

not." Fortunately, in more recent days, among American colleges and universities there has become apparent abundant evidence of growing recognition of the need for good management practices.

To keep the record clear, I should like to point out that when I open up this question of management, I do not want to be identified with that cult of efficiency which could easily exterminate that which it efficiently manages. I am reminded of the report of an anonymous work study engineer who, after a visit to a symphony concert at the Royal Festival Hall in London, reported as follows, and I quote: "For considerable periods the four oboe players had nothing to do; their number should be reduced and the work spread more evenly over the whole of the concert, thus eliminating peaks of activity. All twenty-four violins were playing identical notes: this seems unnecessary duplication. The staff of this section should be drastically cut. If a larger volume of sound is required, it could be obtained by electronic apparatus. Much effort, too much effort, was observed in the playing of demi-semi-quavers; this would seem to be an unnecessary refinement. It is recommended that all notes should be rounded up to the nearest semi-quaver. If this were done, it would be possible to use trainees and interns and lower-grade operatives more extensively. Further, there seems to be too much repitition of some musical passages. Scores should be drastically pruned; no useful purpose is served by repeating on the horns a passage which has already been well handled by the strings. It is estimated that if all redundant passages were eliminated, the whole concert time of two hours and twenty-three minutes could be reduced to twenty-two minutes, and there would be no need for an intermission." Then there was this addendum: "The conductor, it should be observed, generally agrees with these recommendations, but he did express the opinion that there might be some falling off in box office receipts. In that unlikely event, it would be possible to close sections of the auditorium, with a consequential saving of overhead expenses, lighting, attendants, ushers, etc. If the worst came to worst, the whole thing could be abandoned and the public could go to the Albert Hall instead."

This story has curiously familiar overtones when we ponder its application to management and operating efficiency in higher education.

To me, managing means taking action to make desired results come to pass. Management has as its central objective, *making* things happen. Through sound management procedures colleges take their destinies into their own hands. Within limits, they can make of themselves what they want to become.

The basic component functions of management might be identified as planning, organizing and directing—planning, organizing and directing. Within the many facets of these operations, the president of the college must clearly delineate his own role, and then must proceed to delegate all other responsibilities.

When I accepted the presidency at Knox College, I determined that I personally would focus my time and energies on three central tasks: (1) I personally would assume responsibility for recruiting and coordinating the work of the decision-making organization of the college. This includes trustees as well as the men, both staff and line officers, who report to the president; (2) I personally would assume full responsibility for the direction of the overall planning activities of the college. Of course, I need and receive much help from many people, but central responsibility for accomplishing this task I do not delegate; (3) I personally would see to it that I kept myself fully informed regarding what was happening along the frontiers of the mainstream of American higher education. This task cannot be accomplished by sitting in the office and reading current literature. It calls for personal presence on the scene of action. All other responsibilities of the office of the president I delegate to my very able staff colleagues. As a member of the management team, I share in the formulation of institutional policies. In my work as an administrative officer, I give top priority to the three tasks outlined above.

Now, a few words about planning—what is it? What is involved? What does it do? How does it work? Always remember, please, I am speaking with reference to institutions of higher education. Further, because it proves a convenient unit with which to work, I would suggest that we think in terms of a plan for ten years. Any other reasonable period of time would do just as well, but for these sessions we'll think in terms of a ten-year plan.

Model Building

The first step in planning might best be described as model building—model building. You could build a model of your college as you would like it to be ten years from now. If you could have your "druthers"—if you could do just what you want to do—what kind of a college would your institution be in 1978? Precisely, what kind of a college would it be? Remember, now, you have to build this model from the ground up. It must be complete. It must include all the components. You cannot plan one facet without reference to other facets of the institution. You cannot put four walls on three foundations.

There is no place for vague generalities. You must be very specific. Take the matter of students, for example. How many students would you have ten years from now? How many men—How many women? From what geographical areas would your students come? From what socio-economic groups? What would be the character and the quality of their preparation? What would be their college board scores? What special abilities would they have? How would your students be distributed through the freshman, sophomore, junior and senior classes? How would they distribute themselves through the major fields of study? How many would live on campus? What kind of living accommodations should they have? How many would eat in the campus dining halls? What type of feeding arrangements would you provide?

Let's look at your faculty. How many teachers would you have? What would they teach? How would they teach? What training and experience would they have? What would be their age distribution? How much would you pay them? What fringe benefits would they have?

How many would have tenure? What would be your sabbatical leave policy? On what basis would you make funds and time available for research? What kind, and how much clerical help would you make available for the faculty?

What physical facilities would you provide? How intensively would you use your plant? What levels of maintenance would you provide? And so on—and so on.

Each and every facet of your program must be projected with meticulous care: board of trustees, administration, student services, curriculum, calendar, plant, finance, development. When you have completed the task of building your model—when all the parts are fully coordinated—you will find that you have established a clear set of objectives toward which you hope to move in the forthcoming decade.

Step two in planning involves the development of a program by which you will move from where you are to where you want to go. This program includes all the processes and procedures which you must institute to attain your objectives. It presupposes of course, the utilization of feasibility studies which assess your capacity for moving from where you are to where you want to go in ten years. You may find that you simply can't do the job within that period of time. It is entirely possible that you may have to effect modifications in your long-range as well as intermediate goals.

Essentials of Planning

At this point, it might be appropriate to indicate a few of the ingredients which are essential to effective planning. Please remember, I am making no pretense of attempting to discuss all the ingredients essential to good planning. I shall indicate only a few of the more important:

(1) Planning involves the presence of clearly stated institutional objectives. It is not unreasonable for me to assume that at every conference you have attended you have heard stress placed on the importance of adopting clearly stated and commonly understood institutional purposes. Unfortunately, many colleges and universities have lost sight of their original objectives and have not established new vital purposes for themselves. Further, some colleges are trying to serve purposes that are out-of-date. Institutional objectives must be clear, up-to-date, socially important and assiduously pursued. It is at this point of basic purposes and objectives that there appears the most significant distinction between tax-supported and independent colleges. The tax-supported institution has a mission distinctly different from that of the independent institution. Non-public colleges and universities will play a vital role on the American Scene only as long as they serve important and apparent social needs, not so effectively served by public institutions. In the language of the economists, "product differentiation" is the key to the future of independent higher education. Colleges which maintain focus on clearly-defined, socially significant objectives and which effectively serve those objectives will continue to be successful institutions regardless of source of support. Institutions with vaguely defined objectives, or with objectives no longer important to society, will fade away. The same fate awaits institutions which ineffectively serve their objectives regardless of their importance.

(2) A second ingredient in planning involves careful inventory of resources. Through this procedure you meticulously define your point of departure. You determine just where you are. Parenthetically, you probably have observed that your work in step one—model building is similar in many ways to the work of some of our great social visionaries, the creators of utopias. These fellows, however, never succeeded in developing a long-range plan for getting from where they were to where they wanted to go. They never discovered a procedure by which they could lead their own social group into a utopian way of life. As a result, most of them adopted the simple expedient of starting somewhere else—at some far off place, like a remote island or another planet.

Now you and I can't do this when we undertake institutional planning. If our college stands on the cold windy prairie of the midwest, we can't pretend that it is on the warm, dry sands of the southwest. If our endowment stands at one million, we can't start with ten or twenty million. If our plant is inadequate, and badly deteriorated, we can't pretend that we have no building problem. We must start precisely where we are with all the liabilities as well as the assets that are our heritage of the moment.

Of course, your inventory must include much more than assets of plant, land, equities, cash, equipment, etc. You must go on from there. What are the strengths of your Board of Trustees? What are the weaknesses? What can you do about the weaknesses? What do you plan to do about them—how soon? What are the assets and the liabilities of your administrative team? Of your faculty? What can you do about them? How? How soon? What is the character of your student market? What would a tuition increase of $200, $500 or $1,000 do to your student market? What is your fund-raising potential? What are your most promising fund-raising publics?

Obviously, the intangible resources—personnel, student markets, etc. are much more difficult to assess than assets of plant, land, equipment. Realistic appraisal of institutional potential calls for hard-headed, soul-searching examination of these intangibles as well as of the tangibles. Wishful thinking at this point can lead only to disaster.

(3) Effective planning also involves thorough understanding of operations. I am sure that all of you think you understand the operations of your respective colleges. But do you really? Have you made maximum use of the tools of operations analysis? What do you know about your production costs? Have you analyzed your production costs as meticulously as industry analyzes its costs? How much does it cost to place a book on the shelf in your library? How much does it cost annually to keep that book warm, dry, clean, illuminated and available? How frequently is that book used? Who made the decision to buy that particular book in the first place? On what basis was the decision made? Under what circumstances does it become more efficient to borrow it than to buy it?

Does your cost analysis include such items as depreciation on the educational plant?

How much does it cost you per student to recruit—process—admit a freshman to your college? What is the ultimate four-year cost of one dollar scholarship aid granted to an entering student? What are the comparative per unit costs of teaching freshmen, sophomores, juniors and seniors? To what extent are upperclass costs influenced by attrition? Would there be fiscal advantages in lowering the ratio of upperclassmen to lowerclassmen? What does it cost you to graduate a music major, or a chemistry major? How much does it cost you to teach sportsmanship, fair play and other ideals to a varsity football player?

Just what does your gift procurement program cost? Do you really know the hidden costs involved in gift procurement? Just how much do you spend to raise a dollar? In terms of dollars, how large a contract are you really signing when you grant tenure to a member of your faculty? (I would like to point out that when we sought the answer to this question at Knox we found that granting of tenure currently involves an institutional commitment of more than one-half million dollars. Candidly, I must ask myself whether we treat this decision as though it were a one-half million dollar decision.)

Until you have subjected the processes and procedures of your institution to the searching scrutiny of operations analysis you can never fully understand the fiscal interrelationships that undergird your program.

(4) Another essential ingredient in planning is the timetable. The schedule which times your moves from where you are to where you want to go must be developed in terms of objective study of resources and full analysis of potential. It is essential to know whether you are riding with national and local trends or fighting an uphill battle against currents flowing in the opposite direction. Establishing a timetable involves careful coordination of all phases of the program. Fund-raising must be geared to produce money for plant at the time the buildings are needed. Admissions must be geared to produce students in number and quality called for. Dormitories and dining halls must be ready for students when they arrive. Obviously, all the moves must be timed in terms of realistic appraisals of institutional potential. Most important of all, development of a timetable compels you to establish institutional priorities and operating procedures which assure "doing first things first."

(5) A fifth ingredient of effective planning is to be found in a clearcut philosophy of institutional finance. Obviously, any given philosophy may be fine for one institution and completely inappropriate for another. You must clearly identify the role which various income sources will play in your fiscal structure. Only after you have decided on the functions of student fees, endowment income, gifts, etc. can you effectively plan for the financing of your program. Simply stated, the basic question is? "Who pays for what?" More particularly, what specific areas of your operation are paid for by the student? What specific areas are subsidized? What is to be the amount of the subsidy? What is to be the source of the subsidy? These four questions appear to be very simple, but if you conscientiously seek the answers you will find yourself involved in a truly soul-searching experience. Frequently your heart will clash with your head. The factors which must enter into your deliberation are numerous, highly complex and frequently intangible. Unfortunately, many institutions simply refuse to answer the questions—they simply pretend the questions are not there. These institutions are usually in financial difficulties. Viable long-range planning cannot take place until these simple questions regarding philosophy of finance are forthrightly and realistically answered.

(6) Essential to all long-range planning is keen sensitivity to the potent social, economic, technological and educational trends which condition the development of our respective institutions. Obviously, institutional planning cannot take place in a vacuum. The full weight of the impact of current trends must be fed into the decision-making process which undergirds the implementation of any long-term goals. For example, on the current scene, intelligent planning must take cognizance of such trends as the changing patterns in college selection on the part of high school graduates—changes in selective service—and the concomitant impact on the future supply of Ph.D's.—the development of portable student aid vs. institutional controlled student aid—the changing pricing policies of state as well as private institutions—the rapidly growing erosion of the free-standing liberal arts college as a self-sufficient unit, and the simultaneous growth of cooperative ventures, etc., etc.

By this time it should be clear that a continuous, imaginative, vigorous program of institutional research is indispensable for the development and implementation of a viable plan. The admonition of Socrates, "Know theyself," is thoroughly applicable to this task. The products and processes of higher education must be subjected to rigorous scrutiny. Academic decision-making must be based on empirical data—not on subjective judgments and hunches.

The long-range plan must never be looked upon as a fixed, unchangeable blueprint. It is, rather, a thoughtfully developed set of guidelines to be used as a tool for charting the institution's course. The plan must be up-dated and revised regularly. It must be altered to meet new social, economic and educational conditions. It must facilitate orderly growth and institutional effectiveness—not impede or circumscribe it. A good plan provides a framework for readily and clearly assessing the institution-wide effects of any modification in any facet of the college program. You don't develop a plan and then put it on the shelf. The plan must be known to all groups within the institution, and understood by them. Where planning works best, it becomes a way of life for the whole institution.

Planning—A Team Operation

In my opinion, it is clear that planning must be a team operation. The captain of the team must be the president

—the president himself must lead and direct planning operations. This is one function he cannot delegate. From some point of view, this may be the most significant thing the president does.

The most difficult phase of planning is found in the basic decisions which must be made with reference to the model institution toward which you are moving. Some of these decisions must be made by the board of trustees —some by the faculty—still others by management. Special care must be exercised to see to it that no groups or individuals make decisions that rightfully belong to another—that would be fatal. If, for example, management decides that the ultimate student-faculty ratio should be fifteen to one, if the faculty does not agree with such a ratio I can guarantee it won't work!

In each area of the institution's operations the responsible administrative officer must share in establishing both the temporary and long-range goals. In each case, he must be convinced that the goals are reasonable and attainable. He must be fully informed regarding objectives and timetables in all other areas. He must comprehend clearly what failure to meet his goals and timetables will mean to the total program and to other specific areas. The director of admissions must fully understand the complications that will be brought on by his failure to deliver the scheduled number or the projected quality of entering students in any given year. Faculty additions, course structures, dormitory construction, tuition income, etc. have all been predicated on the assumption that he will deliver as scheduled.

The director of development must be thoroughly cognizant of how much rests on his shoulders. The full implications of failure to deliver gift funds as scheduled must be clearly apparent to him.

The chief development officer must be a member of the planning team—a very important member. Because of his experience and business background, he may be more sensitive than most other members of the staff to the need for a plan. Therefore, he may be very active in stimulating his colleagues to develop a plan—but in no case, under no condition, should the development officer assume responsibility for directing the building of an institutional plan. (Of course, the same is true of deans, the business officer, etc.) That is the job of the president, and he alone can direct that important management function.

Planning and Fund-Raising

In my humble opinion, it is not an overstatement to say that a sound, long-range plan is an indispensable element in a successful development program. No one knows this better than the development officers themselves. Just what does planning do for fund-raising?

(1) Planning provides the development officer with tangible standards by which he can assess the effectiveness of his operations. To the extent that he produces funds in the amounts and on the schedule established by the plan, he can take personal satisfaction in what he has accomplished. He knows precisely what is expected of him, and the extent to which he has "delivered the goods."

(2) Increasingly, donors expect that the institutions to which they contribute will be well managed. Institutions which do not plan are badly managed. Enough said.

(3) Fund-raising experts tell me that thoughtful, discriminating donors like to give to strength. They like to give to colleges which are likely to be around for a while —which have the capacity to do that which they say they will do. In other words, a donor looks for assurance that the college can and will carry out his intent. Colleges which plan and demonstrate their ability to live by their plan breed confidence—confidence breeds gifts. We all like to support a winner. Here, as elsewhere, "them that has gets."

(4) Gifts to colleges which plan are not lost in the general budget. Few donors anywhere derive personal satisfaction from contributions to offset budget deficits. When contributing to a college which has a realistic plan, the donor is given a sense of perspective. He can see precisely what his gift will accomplish. He can identify himself with specific long-term results. The rewards of giving become conspicuously apparent.

(5) Planning compels management to maintain sharp focus on objectives. These objectives must be stated in lucid language that the layman can understand—and remember, most donors are laymen. With this audience, I do not need to enlarge on this point.

(6) By defining and identifying financial problems well in advance, a vigorous continuous program of development is made possible at colleges which plan. High pressure campaigns can usually be avoided. Institutions which consistently appeal for funds on the basis of fiscal crisis or imminent catastrophe are usually institutions which do not plan.

(7) Long-range planning in the development office requires the projection of annual goals by fund sources: business and industry, alumni, bequests, foundations, etc. Specific written goals of this type demand that the development officer frequently review his work to see if he is allocating funds, time and energy in amounts consistent with anticipated returns. For example, if you anticipate that 30% of your gifts in the years ahead will come from bequests, the bequest program deserves 30% of your time, energy and resources. If 10% of your gifts will come from industry and business, that program doesn't merit 70% of 80% of your effort. How often do you check yourself on this point?

By focusing attention on that ideal, model institution which lies ahead, the college which plans adopts a positive approach. What it does now takes on additional meaning because it relates to what lies ahead. We all like to be identified with programs that lead to a better world. We all like to be considered thoughtful, understanding, farsighted, imaginative. Donors are no exception. Through your plans you can harness to your ends that most basic and most potent of all philanthropic motivation—the desire to identify ourselves with programs of high aspiration and noble purpose.

JOHN E. BENNETT

Identification and Cultivation of Constituencies

By removing the subject of this presentation from the context of the Workshop theme, one is encouraged to go too far and think in terms of the total philanthropic emphasis in this country. And in so doing, the thinker is immediately confronted with one of the eternal verities of this business—the search for voluntary financial support by eligible institutions and organizations is one of the most aggressive and competitive elements of our society today.

Your insurance agent or automobile salesman may tell you differently, until they are confronted with the revealing data compiled and recently published by the American Association of Fund-Raising Counsel.

(1) A current survey of 21 national health and welfare organizations show that 28.1 million Americans performed volunteer services for them during 1967; (2) sixteen of these organizations reported a total of 17.4 million volunteers engaged in fund-raising activities during the year; and (3) a sample survey in a large metropolitan city a few years ago suggested that one-sixth of all adults perform some form of volunteer work *outside their churches.*

The figures just cited range from ten to sixteen percent of the total population and, if you will investigate the source of this data, you will discover that no mention is made of educational institutions or organizations. It is not until one moves to the higher estimate of 55 million vounteers active during 1967 that support of the educational enterprise can be included.

To return to the verity for a concluding statement: Approximately one out of every four Americans is actively supporting and/or serving the programs of his choice. The obvious conclusion, then, is that—like it or not—effective fund-raising is more than big business, it is also the major leagues. Those who choose to play the game must play it in this context.

In a recent issue of *Carnegie Review,* Carnegie-Mellon University President H. Guyford Stever said: "Financial support must be deserved by sound, useful programs, and it must be earned by hard work in planning, management, and the cultivation of those who are in a position to support it."

Quantitatively, higher education has fewer constituencies from which to expect support. Qualitatively, the picture can be viewed from a better vantage point. Six of the twelve largest gifts and bequests made public in 1967 went to a college or university. As more and more individuals pursue their educational experience to ever higher levels, the potential for increased financial support rises accordingly.

Sometime during 1968 private giving to philanthropy will exceed $15 billion. This, of course, is exclusive of federal and state funds. According to the most current information, the nation's colleges and universities can expect to receive something in excess of the $1,580 billion recorded last year. Interestingly enough, this is comparable to General Motors' net income in recent years.

Now we have cleared the air for the task at hand. Who is going to get these billions? Who is going to give these billions?

Permit me to answer the first question by referring once again to President Stever's statement. Experience shows that those institutions and organizations with the soundest programs, with the most articulate spokesmen, and other communication vehicles for these programs will get their share and more of the available funds. Perhaps I should say "continue to get their share and more" because this is another verity of the game.

Who are these sources of support and how does an institution go about identifying them? We move from this point on the assumption that the institution has a well-planned, forward-moving program which is constantly being reevaluated for flaws and weaknesses. Without this, there is no ballgame. Without the several constituencies knowing of this program and the evaluative process, the ballgame can be placed in the loss column long before the ninth inning. The dictum of "good field, no hit" is

even more true today.

I have chosen to group the institution's constituencies into four main categories; the family (which is not quite the right term, but which stands for faculty, students and staff), foundations, corporations and individuals.

College "Family" Constituency

Recent events on campuses across the country cause one to wonder about the relationships between the administration, the faculty and the students. In place of the question "Is anyone listening?", one might ask "Is anyone speaking?" meaning, of course, is anyone speaking for the institutions with the full or majority support of its several parts.

Here, then, is the most important constituency of all and, unfortunately, the one that receives the least attention in far too many cases.

Let me suggest that the family can be an enlightened constituency; indeed it must be if the institution is to reach out into more remote groups, not only for financial support, but also to provide the community services which are an increasingly important role for many colleges and universities.

There are several vehicles available to inform and cultivate faculty members, students and administrative staff. Printed material can open the door to two-way communication and encourage dialogue on essential matters. General distribution pieces such as a facts package and a weekly calendar of events are of enormous importance in developing identity within the college community. Too often we assume that those closest to the institution know all about it. This rarely is true without a well-defined program to make it so.

Specialized publications which are designed to appeal to particular elements of the institution's family can strengthen rapport among all elements. A student newspaper, edited in good taste by responsible individuals can be one of the most lively documents on campus. A well written monthly or quarterly magazine can devote itself to non-news material such as feature articles by representatives of the faculty, student body and staff.

What may be the most important document of all—the annual report—should be the most thorough statement issued by the institution. It should receive the widest possible distribution among all the shareholders and this certainly includes students, faculty and administrative personnel.

Meetings may be one of the sicknesses of our society (this one excluded). But a well-planned, informative meeting can produce more positive results than any other single form of communication. Regularly scheduled sessions between the president—or his senior associates—and elements of the student body and faculty can undercover sores or festers which would be best cured before they break out in an epidemic.

With the institutional family well-informed on its programs, and reasonably happy with them, the task of cultivating others is a less formidable challenge. But it doesn't end there. Remind me to tell you about a small institution in Indiana whose faculty and staff gave more than $125,000 in a $3 million capital campaign BEFORE the program was announced to the public.

Before moving to the second main category, let me spend a minute or two on trustees. It would be an insult not to mention this dedicated group of volunteers but it would be just as much of an insult to discuss their essential role in the limited time we have here today. I refer you instead to an article by Paul Davis entitled "20,000 Potent People."

Foundations

Foundations are an important constituency of higher education; one of THE most important in terms of total dollar support—$290 million in 1967. And there are many foundations from which to pick and choose—more than 18,000 at last count. Therein lies the rub.

One of the major universities in the country, which annually receives several millions of dollars from foundations, rarely has 200 such prospects catalogued in the active files; and many of these are for research projects.

In all probability most liberal arts colleges would be doing well to have as many as 50 foundations in the active files, and the majority of these should be as close as possible to home. The amount of research that is necessary in a professionally designed foundations relations program is enormous, time-consuming and usually only profitable in the limited number of cases of interested foundations.

The day of the uncoordinated approach—of the president meeting his development officer or a faculty member in the reception area of a foundation office—is history now, or it should be. Foundation officials do not have time for this gadfly-like treatment, and I am not aware of any college presidents or other senior officers who decry the lack of things to do during their 12-14 hour days.

We should spend a minute on this thought because it is the most central theme in identifying and cultivating constituencies—research of all constituency groups and individual prospects within these groups is fast becoming a well-defined art which pays off in more productive fund raising programs.

Marshall McLuhan has said: "A specialist is one who makes no small mistakes on the way to the grand fallacy." The person who is responsible for researching your prospects—and providing accurate data on them—simply cannot afford to be wrong too many times, or it will appear in the annual report in the form of fewer and fewer gifts and bequests.

Corporations

The corporate community has the potential of being one of the greatest growth areas in the field of philanthropy. Current giving now represents about one percent of profits, and Samuel J. Silberman commented on this during a recent speech at Fairleigh Dickinson University.

The chairman of the Consolidated Cigar Corporation said: "The Government presently allows up to 5% for philanthropic deductions from corporation profits." Let us hypothesize that the Government requires that this money either be given for philanthropic purposes or used for internal programs focused on the social welfare of their employees or of the communities in which they operate, with the proviso that the unspent part would be 100% taxed to finance Government programs of a similar nature.

"The difference between the amount of money presently given and 5% of corporation profit amounts to over $2 billion per year. Imagine such a sum released with the impetus of private direction. . . ."

I might add that it has been estimated that private groups can collect and spend $1 at a cost of 7¢, whereas the Government must collect $3 for every dollar it dispenses.

How then do we identify and cultivate corporate constituencies? Here again the essential ingredient is research and fact finding: Who are the business leaders? Which are the firms to be identified and in what priorities? How do we (the college or university) stand with these leaders? What are their attitudes toward us? What problems exist? On what basis can we make an appeal?

Much of this information can be defined by establishing two-way communication via a systematic program of involvement. This can take the form of business advisory committees to the institution, a series of faculty-business luncheons and meetings, special lectures and symposia, and a well-planned flow of directed mailings.

Notice the word "directed." Even at six cents a unit, the Post Office is still being inundated with a volume of mail that regularly results in a breakdown of the system. Each of us begins our day with "the mail," so there is no need to belabor the point. Cultivation mailings to any constituency—and particularly to those in business and industry—must be of a quality and content to stand the test when compared with the regular flow of mail received by the respective group.

Hubert Humphrey said: "Happiness is a citizen who can pick up a Government publication, read it and understand it." Remember, fund-raising is the major leagues. There is not much sense in sending out a piece that doesn't stand a better-than-average chance of being read.

Individuals

Now to the individual donors; those persons who, in 1967, provided more than 75 percent of the voluntary giving to philanthropy. In reference to higher education, it was the alumni, the parents, and other friends who gave almost 50 percent of the total gifts.

It would seem to be a less difficult task to identify and involve this constituency, and yet experience shows that this is not always the case. As they pursue their educational experience through the two-year institution, the undergraduate college, and on to graduate and professional schools, the alumni are going to become an increasingly difficult group to involve in the life of a particular institution.

Again referring to the latest available information, non-alumni led all others in support of higher education. It is difficult to believe that these non-alumni are also non-graduates or persons with little or no experience at a college or university. Rather one might suggest that these non-alumni are indeed college graduates and are supporting institutions other than those they attended as students. Not for any particular disenchantment with their Alma Mater, but rather because of the mobility of our society, and the interests and involvement one develops within the community in which he lives.

It could well be that in the near future this enormous constituency will be known simply as friends of the institution, with subgroups as alumni parents, and others. This is a vital point in the total fund-raising program of a college or university. All of us know that the foundation or corporate prospect wants to know how the alumni are doing. If the present trend continues, it will be up to all of us to sell the new concept that our friends—including alumni and non-alumni—are supporting our institutions at a higher level than ever before. And in identifying and cultivating these friends, the research and fact-finding capabilities must be increased proportionally.

One of the interesting and successful mediums for identifying these friends is the establishment of special groups that meet certain requirements; among which are levels of financial support. Such designations as The President's Council, The Golden Key Club, The Chapin Society all represent groups that have demonstrated a real interest in an institution by working in its behalf, in addition to providing financial resources in the thousands of dollars.

The potentials for fund-raising developing out of friend raising are unlimited as more and more people have more and more direct experience with the educational enterprise. One of the oft-quoted examples of the generosity of Americans comes down to us from World War I when it was noted that "Americans spontaneously contributed a sizeable sum for the widow of the Unknown Soldier." I sincerely hope that we will have fewer such examples today as the individual becomes more concerned about our way of life and more capable of making positive judgments about which of our institutions should flourish and grow stronger, and which should not.

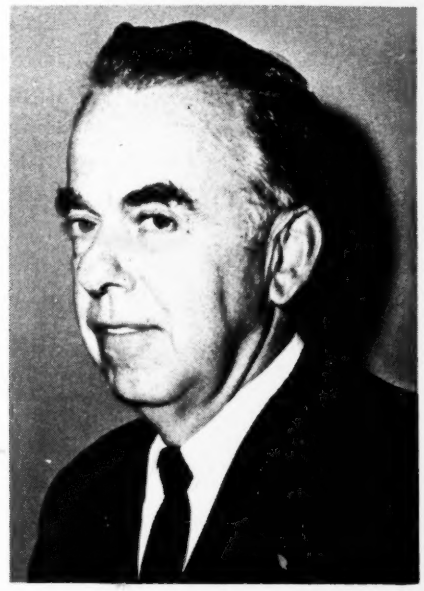
In reviewing the types of constituencies interconnected with higher education, and certain ways that might be used in identifying and cultivating them, I have attempted to make one point stand out among all the others: Don't play the game unless you are interested in winning, and one sure way of winning more games than you lose is to put the best possible team on the field. Applying this to the exciting business of fund-raising means the availability of a capable and well-trained staff of professional development officers.

The programs we have touched upon ever so briefly today, implemented in a professional manner, will require a minimum of three professional staff members. These in turn should be backed up by an adequate clerical staff.

The promise of bounteous reward has never been greater for those who are seriously concerned with the understanding and support of higher education.

PAUL H. CARNELL

Federal Support for Small Colleges



In looking at the total spectrum of higher education, it is apparent that the 4-year private college faces some special problems—problems which in some ways are more serious than those faced by other sectors of higher education. Among these perplexing problems are: How can the small college achieve financial stability? How can the small college compete in the academic market place for highly qualified faculty? In what ways should the small college modify its curriculum? But perhaps the most important and the most difficult question is how can the small college define, develop, and implement a viable mission (or missions) in our rapidly changing structure of higher education? You who are so vitally concerned with the future of the small college are well aware of these problems and I shall not elaborate on them. Instead, I shall review briefly the development and scope of Federal programs of support to higher education with some focus on those programs which relate to the problems of the small college and shall then talk in more detail about two programs with which I am most familiar—Title III of the Higher Education Act of 1965 and Part E of the Education Professions Development Act.

The Federal government is deeply involved in providing support for higher education. An indication of the extent of this support is seen in the fact that during the period 1963-66 Federal obligations to universities and colleges totaled over $8 billion. The U.S. Office of Education alone is spending annually about $1 billion for higher education.

The rise in Federal support to this high-level began during World War II when large sums were awarded to universities for scientific research and development in connection with the war effort. Federal support of research continued to increase after the war. It was not until the late 1950's and early 1960's that Federal programs for higher education achieved a much broader purpose—to serve a wide variety of needs in higher education. These programs were established by an unprecedented number of laws passed during that period which were concerned with higher education. These included the National Defense Education Act of 1958, the Higher Education Facilities Act of 1963, the Mutual Educational and Cultural Exchange Act of 1961, the Higher Education Act of 1965, the National Vocational Student Loan Insurance Act of 1965 and the Education Professions Development Act.

This legislation has substantially increased the level of Federal support for higher education. To what extent has the small college benefited from this increase?

It is evident that, a few years ago, the small colleges received only a small percentage of the total Federal funds for higher education. In 1966 the 100 institutions obtaining the largest amounts of Federal support received 70% of the total Federal funds for higher education. In 1963, these same 100 schools had received 85% of the funds. Almost all of these 100 institutions were the larger universities.

Fortunately, the proportion of Federal funds going to small colleges has increased since 1963. In that year only one per cent of all obligations to colleges and universities by the Department of Health, Education, and Welfare went to institutions granting only the bachelor's degree. By 1966 this percentage had risen to 8 per cent. There has also been a marked trend in recent years to disperse Federal funds more widely to a greater number of institutions and to provide increasing support for undergraduate education.

Specific Programs

This trend toward broader support is reflected in a number of specific Federal programs. I shall outline briefly those Federal programs which are providing significant amounts of support to the small college:

(1) The Higher Education Facilities Act of 1963 provides loans and grants for construction of undergraduate facilities. In fiscal year 1968, grants totaling almost $285 million were awarded to colleges and universities under this program for the construction of undergraduate facilities. Loans totaling $150 million were awarded for both undergraduate and graduate construction. (It should be remembered however, that assistance for construction of academic facilities is available only in cases where it will result in a needed substantial expansion of enrollment capacity.)

(2) The Federal student financial aid programs provide

support to undergraduate students at a great number of colleges. A large majority of the accredited institutions of higher education in this country participate in one or more of these programs. They include the National Defense Student Loan Program, the Educational Opportunity Grants Program, the College Work-Study Program and the Guaranteed Student Loan Program.

(3) Title VI-A of the Higher Education Act provides grants for the purchase of equipment and materials to improve undergraduate instruction, such as audiovisual, laboratory, and television equipment.

(4) Title II-A of the Higher Education Act provides grants to strengthen and increase library resources of colleges and universities through acquisition of books, periodicals, and other library materials. This program has been especially beneficial to the 4-year college. In fiscal year 1967, over $10 million or 44.5% of Title II-A funds went to 4-year institutions.

(5) The Cooperative Research Act provides grants to encourage personnel of small colleges to gain experience in educational research. It also provides support to encourage the development of educational research capabilities in small or developing colleges and the application of the results of this research to their on-going programs.

These programs are administered by the Office of Education.

Other Federal agencies also support small colleges. The National Endowment for the Arts and the Humanities supports faculty exchange and cooperative programs in the humanities at some small colleges. The National Science Foundation provides substantial support for the improvement or undergraduate education in the sciences. The Department of Housing and Urban Development administers a program of loans for construction of college housing facilities which undoubtedly has been of benefit to many of the smaller colleges.

I have tried to give you a fairly complete list of all Federal programs which may benefit the small college. As you can see, these programs are designed to meet rather specific needs—for new facilities, instructional equipment, improved science education, etc. The two programs I shall discuss next—Title III of the Higher Education Act and Part E of the Education Professions Development Act—are designed to provide a much broader approach to the needs of institutions of higher education. Title III seeks to increase the basic strength of developing institutions through cooperative arrangements by providing grants to support faculty and administrative improvement, curriculum change and development, improvement in student services, student and faculty exchange, visiting scholars, National Teaching Fellows, and other programs. This broad support is providing many small colleges with money to meet their basic needs and to re-examine their goals.

Developing Institutions Program

At this time, I would like to share with you some statistics for Title III that reveal some of the directions the program is taking:

Table 1

	1966	1967	1968
Funds appropriated and obligated	$ 5M	$30M	$30M
Funds requested by institutions	32M	57M	110M
Proposals submitted	310	560	500
Grantee developing institutions	127	411	220
Other developing institutions	31	55	142
National Teaching Fellowships	263	1,514	727
Geographical representation	38 states and D.C.	47 states D.C., Guam and Puerto Rico	45 states Guam, Puerto Rico, Virgin Islands

Grants by Type of Institution

	Number		% of Grantees		Average Grant		
	1966	1967	1966	1967	1966	1967	1968
4-year Public	28	73	22	18	$45,463	$105,349	$148,755
4-year Private	64	215	51	52	41,047	73,067	158,135
2-year Public	19	73	15	18	42,293	55,279	98,840
2-year Private	16	50	12	12	38,799	51,292	80,576

(In FY 1968, 14 CASC colleges will be receiving $1,271,501 under Title III.)

Proposal Weaknesses

In relation to future Title III funding, we are of course very interested in improving the quality of proposals which are submitted by the developing colleges. With this goal in mind, I would like to share with you some of the major weaknesses of the proposals that were submitted last year:

Fragmentation

Some proposals consisted of a list of rambling, disconnected odds and ends of programs that someone had jotted down in an apparent rush effort to get some Federal money. In other words, the plans for improvement did not show much planning. Careful planning should result in a well-coordinated and well-integrated cooperative arrangement that would (or could) have a major impact on the institution or institutions involved.

Inadequate Case for Being a "Developing" Institution

An institution must qualify as "developing" to be considered for support under Title III. A number of proposals did not make a strong defense for the "developing" character of the applying institution. You should make your case as "a developing institution" very clear and concise for the readers and staff. Remember that the word "developing" is not a static word—developing means change and this means that the profile of your institution (and the universe of developing institutions) must and will change from year to year.

Inadequate Defense of Program Need

Let the readers know the real need for the programs which you are requesting and how these programs relate to the long-range, major goals of your institutions. In some proposals the whole program emphasis was on activities to be engaged in rather than accomplishments to be achieved. Some institutions seemed to request programs simply because they were listed as line items on the budget forms.

Inadequate Defense of Budget

Frequently the relation between the proposed program and the proposed budget was neither clear nor adequately defended. *Budget defense is very important.* If you request $1,000 for instructional materials for a given program, let the readers know why you feel this is vital to the success of the proposed program.

Inadequate Description of Institutional Development Under Title III

If you are currently receiving Title III support, the relationship of your new request to previous support should be given careful attention. Your new request should flow from and be intimately meshed with your current programs. Your narrative should include a discussion indicating what Title III has done to help your institution and how continued support would amplify this forward thrust. What changes have occurred because of Title III support which make your institution more viable?

Equipment Requests

Some proposals received low priority for funding because of large dollar requests for equipment. Title III is a program oriented Title. Equipment support is minimal and then only for items absolutely essential to the program.

Weak Cooperative Arrangements

Some proposals satisfied the requirement of the law by persuading an assisting institution to sign the appropriate page in the application. But it was not possible to find any significant elements of cooperation except perhaps a vague reference which said "They are going to help us find visiting scholars or National Teaching Fellows." If you are proposing a cooperative arrangement, show clearly and completely what the significant elements of cooperation are in the programs proposed.

Cooperative Arrangements

Since the last item relates specifically to the central focus of Title III (i.e., cooperative arrangements) I would like to spend some time discussing some areas of concern in our evaluation of cooperative arrangements. These are:

A. Individual institutions in the cooperative arrangement;

B. Structure of the cooperative arrangement; and

C. Character of the cooperative programs.

The following comments result from a personal review of 283 different proposals for cooperative arrangements involving some 278 colleges. The cooperative arrangements were approximately equally divided between bilaterals (a developing institution cooperating with an assisting institution) and consortia (two or more developing institutions in a cooperative arrangement).

A. Individual institutions in the cooperative arrangement

1. Has each of the participating institutions in the cooperative arrangement made a serious effort to define and develop its mission? Are they really aware of the kind of job they are now doing? In looking to the future, what are they trying to become and why?

   This effort directed to institutional understanding must involve a complete and honest look at the whole spectrum of academic and fiscal strengths and weaknesses and a clear definition of goals steming directly from the areas of strengths and weaknesses.

2. Assuming that an institution understands what it is trying to do and why, and has established viable goals for the future, why has this institution decided to participate in a cooperative arrangement?

   a. Because of a genuine belief that the goals of the institution cannot be achieved without cooperation with other institutions of higher education;

   or

   b. Because of a genuine belief that cooperative arrangements, particularly consortia, have a plus rating with the Federal government and foundations and hence this route to additional dollars is quick and sure.

B. Structure of the Cooperative Arrangement

1. Effective leadership. Is the cooperative arrangement structured so that it will function with competent, responsible leadership which is sensitive not only to the needs of the individual participating institutions but also to the needs of the total cooperative endeavor. The latter is essential to successful consortia arrangements. Effective leadership can come from high potential developing institutions who are coordinating a cooperative arrangement, from strong assisting institutions or agencies; or from a well-qualified administrative staff that has been given enough authority to influence the success of the cooperative arrangement in a significant way.

2. Kinds and number of institutions. In relation to the goals of the participating institutions, what advantages or disadvantages for the cooperative arrangement become apparent in relation to the following:

   a. Geographical distance between participating institutions. How does the distance factor relate to the kinds of cooperative programs that have some promise for success?

   b. Institutional Homogeneity. Two-year, four-year, public, private, character, and size of student body and faculty, uniformity of college calendars, accreditation, etc. Is the mix of institutions too heterogeneous for any real cooperation?

   c. Total number of institutions participating. Are the institutions over-involved in too many cooperative arrangements?

   d. Academic and fiscal strengths and weaknesses of the individual participating institutions. Are the cooperating institutions too weak to really help each other?

   e. Participation of a given institution in a variety of cooperative arrangements simultaneously (consortia and bilaterals). What are the factors to be considered in relating a given institution's bilateral involvement to the development of a strong consortium?

C. *Character of the Cooperative Programs*

1. Are there unique and special long-range advantages that will accrue to all of the participating institutions as a result of the cooperative arrangement that could not be achieved equally well, or perhaps better, on an individual basis?
2. Do the programs have promise for aiding the long-range basic needs of the participating institutions? (This includes requests for National Teaching Fellows.)
3. Is the program emphasis primarily on the extension of current programs rather than effective sharing of existing assets with a goal of greater efficiency? (Examples of the latter are joint purchasing of services and supplies; joint fund-raising; cooperative use of facilities and personnel; cooperative administrative procedures—registration, student selection and record processing.
4. Are the programs realistic? Will the personnel needed be available? Is there a high probability of the objectives being achieved? Is there evidence that the participating institutions are anticipating the day when substantial Federal funds may not be available for supporting the cooperative programs.
5. Do the programs requested appear to have been imposed on the participating institutions or generated by them? Is there good evidence of mutual participation in the planning and execution of the cooperative arrangement?

Cooperative arrangements between institutions of higher education need to be encouraged and strengthened. The areas of greatest concern are:

1. The development of strong leadership.
2. The need for much more effective communication between participating institutions.
3. The development of programs which will have a massive impact on the basic needs of the participating institutions.

Successful cooperative arrangements can mean the survival of some institutions of higher education. Beyond this goal, however, lies the very real and exciting possibility that successful consortia will become the universities of tomorrow with a quality of excellence equal to or greater than that of our best universities.

Education Professions Development Act

The Division of College Support also administers Title V, Part E of the Education Professions Development Act—a broad and flexible Act designed to meet a wide variety of critical needs for trained manpower in higher education. This Act supports fellowships, institutes, short-term training programs, and special projects. The essential components of the Act may be summarized as follows:

What persons are eligible for fellowships?

Those who are serving or preparing to serve as teachers, administrators, or educational specialists in institutions of higher education. Fellowships support full-time graduate study in programs other than those eligible for support under Title IV of the National Defense Education Act.

What persons are eligible for institutes or short-term training programs?

Those who are serving or preparing to serve as teachers, administrators or educational specialists in institutions of higher education. This would include faculty, trustees, presidents, deans, media specialists, counselors, development officers and others.

What institutions may apply for a grant?

Any institution of higher education that meets the eligibility requirements described in the General Provisions of the Higher Education Act of 1965. Only institutions with well-established graduate programs should apply for graduate fellowship support.

Duration and type of institute or fellowship.

Regular-session institute	Full time (Academic yr.) 9-12 mos.	Part time
Short-term institute	Full time (Summer) 6-8 weeks	Part time
Short-term training	Full time Less than 4 weeks	Part time

Institutions may offer various combinations of these training programs with a 12-month limitation. Fellowships support graduate study for up to two years.

Academic Credit.

Academic credit is optional but the training program must be "graduate level" in character.

Costs supported:

a. *Institutes and short-term training programs:*

Institution—All direct costs plus indirect costs (up to 8% of sum of direct cost plus participant support).

Participants—For full-time training programs $75 per week stipend; $15 per week for each dependent. No travel.

(You will note a non-Federal column on the budget page which offers you the opportunity to become fiscally involved in your training program.)

b. *Fellowships*—Each first-year fellow receives a 12-month stipend of $2400 plus an allowance of $500 for each dependent. A second-year fellow receives $2600 plus dependency allowances. An annual allowance of $2500 is paid to the training institution to cover tuition fees and other training costs.

c. *Special Projects*—Traditional fellowships and institute programs can be very effective in the training and retraining of higher education personnel, but if this is the extent of our effort, the ever-increasing manpower needs of higher education will not be met. The special projects category of Part E is for imaginative training programs which do not precisely fit the fellowship or institute structure and which show promise for influencing institutional

change which will result in training programs that represent a considerable improvement over past practices.

All proposals submitted under Part E must address themselves to the following priorities:

1. Programs to train teachers for junior colleges and two-year community colleges.
2. Programs to prepare educational personnel who will serve in developing colleges or will be concerned with the needs of disadvantaged students.
3. Programs for the improvement of undergraduate teaching at all levels.
4. Programs to train administrators in higher education with important decision-making functions.
5. Programs to train educational specialists.

Because of the limited monies likely to be available for Part E, we will be able to support only the highest quality proposals that could be considered as models in relation to critical local, regional, or national manpower needs in higher education. We would also hope to see evidence of "multiplier" or "ripple" effects in the training programs. That is the training of individuals who will influence large numbers of higher education personnel.

In conclusion, I believe the evidences presented in this paper show that the Federal government is interested in the small college. We are looking for you to respond in a dynamic way that will result in a new era for your institutions.

As the campaign approaches and as strategic plans are completed, certain factors for success should be given most serious consideration.

One of these factors for success, the most important one, is leadership. This starts with the president. The president's role is important in any campaigning institution. Recognizing this, President Goheen of Princeton, for example, estimated that he devoted a third of his time over a three-year period to Princeton's most recent capital fund-raising program. The burden of the campaign falls to an even greater extent on the shoulders of the president of a smaller institution. The president personifies the institution to most prospective donors and for that reason is required to give both philosophic and personal leadership to the program.

The trustees also play a vital role as the nucleus around which the fund-raising organization is constructed. A study by the Council for Financial Aid to Education of 92 unsuccessful college campaigns showed the number one reason for their lack of success was a lack of leadership "centered in the institution's governing board." Top-flight boards dedicated to campaign success, on the other hand, have been a prime ingredient or success in capital campaigns conducted by universities and colleges throughout the country. We have found that in successful campaigns for church-related colleges, trustees usually provide about 25% of the funds raised. The importance of trustee leadership and trustee giving power should be kept in mind when board vacancies occur at your institution.

The campaign General Chairman is still another prime factor for success. As far as campaign leadership is concerned, the best is barely good enough. The most influential man within your constituency should be enlisted as the General Chairman. He should be a man of influence and affluence, willing to utilize both for your institution. Through him you then move toward other first-team leadership in your constituency.

DAVID S. KETCHUM
"Capital Campaign Programs"

STANLEY R. McANALLY

Developing Alumni Support for Small Colleges

"There are warnings of danger ahead for the small private college in the United States. Some may have to close their doors for lack of money. Others may be forced to merge."

That was the lead paragraph in a *U.S. News and World Report* article of September 18, 1967. The prophets of doom have been forecasting grave difficulties for the small college for quite some time now, and the root of nearly all the prognostication is lack of money.

The article goes on to detail some of the problems and advance some solutions, most having to do with Federal aid of one kind or another.

Let me lift another sentence—completely out of context—from the article, and use it for the theme of my discussion this afternoon. "Private colleges have been criticized for not making the best use of what they already have." What you already have is alumni, and if the statistics on alumni support detailed in the 1967 CASC annual operation questionnaire are any indication, very few CASC members are making any kind of effective use of their alumni.

Of the 59 CASC members reporting figures on alumni, only 46 reported receiving any alumni gifts, and that grand total of alumni support was reported at $584,434. This amount came from 17,976 alumni donors, out of 105,432 who were solicited. If my arithmetic is correct, that means 87,456 of these alumni who were asked to give did not do so. Why? The answer to that question is the heart of our topic of the moment, and the answer may be very simply that we are not effectively presenting the case for alumni support.

Developing Alumni Support

Developing alumni support is not an easy task, and it most certainly is not one which can be accomplished on a "catch as catch can" basis. To develop really effective alumni support for your college takes time, effort and money, and there are no shortcuts. Unquestionably and realistically, the raising of money must be one of the predominate aims and motivating purposes of a strong alumni program. There is an ever-widening gap between income and expense for most colleges. Strong alumni support can help bridge the gap between essential needs and available funds, but it can also achieve much more than the financial goals. With a strong, viable alumni program, the following must inevitably result:

1. A greater awareness of the college's position in the educational world and a more intense desire to help the institution meet its needs and strengthen its purpose.
2. The creation of a partnership between the alumnus and the college, in which the alumnus becomes better informed about the college. He will recognize the physical, financial and educational needs, and be more aware of the problems of admissions, of securing and holding an outstanding faculty with mounting financial pressure, etc.
3. A more sympathetic understanding of the merits of an organized program of alumni giving.

How do you develop alumni support? You *sell!*

Prior to getting into this business of educational fund raising in 1961, I had spent three years with the Proctor and Gamble Company in sales and advertising. Before the company introduced any new product, a systematic market research and analysis was conducted, and once the product was developed, an intensive selling job was in order. Permeating the entire operation was an effective, organized process of educating the market about the product. This business of educational fund-raising is not too dissimilar. We, too, have a product—somewhat intangible—and if we are to sell it successfully, we must first educate the market—our alumni. This reminds me of one of the most effective fund appeals for alumni support I have seen. It is a very simple approach, but one which gets the message across. I have no idea who the author was, but the piece has been used by literally dozens of institutions of all sizes, with merely an adapta-

tion of a word or phrase to suit their particular needs. I print it here exactly as I used it at the University of Tennessee.

A Fable

"One upon a time there was a small company in the business of producing a fine custom-made product. The company had a fine plant, a good balance sheet, an outstanding group of employees and a wise board of directors. This was good.

"Through long years of building up its assets and improving its product, the company gained an excellent reputation. Its product was in great demand. In fact, demand had surpassed the company's capacity. This also was good.

"No wonder the product was in such great demand. The company actually collected from customers about seventy-five cents for each dollar's worth of product it produced This was good for the customer, but bad for the company. Something had to be done to keep the company solvent.

"So, the board of directors decided to ask the company's former satisfied customers to give money. They did. After all, they bought the product at a discount. The board also asked businessmen whose companies made a profit to give. They did. Some other people who had attained wealth were asked to give, and they did. Still, more money was needed.

"You would not expect a company to be able to keep going on this way year after year, but this one has—nearly 170 years. As a matter of fact, it's still going strong, still producing an excellent product, still selling it far below cost, and still relying on its friends and former customers to help keep its reputation as one of the outstanding companies of its kind.

"Moral: It's time for you to write your check to the Alumni Fund."

The product we have to sell is the need for private gift support for our colleges and universities, and the market we most need to develop is our alumni. In the final analysis, we have to *sell* the college, we have to *sell* the program, and we have to *sell* the need for private support of higher education. You will never develop alumni support by using the approach "we're poor, and if you don't give us money we're going down the drain." Si Seymour, one of the really great practitioners of the art of fund-raising, stated that one of the seven deadly sins of fund-raising was panhandling—asking for support merely because you need the money, with no explanation. The result of such a "non-selling" approach is no motivation for thoughtful and proportionate giving, and frequently no giving at all!

There are so many factors involved in developing alumni support that it would be totally impossible to cover them during a short session. What I hope to do is give you the skeleton and let you construct the body.

One of the first things I would recommend to you is membership in the American Alumni Council for your alumni director and your fund director, if in fact you do not now have these memberships. AAC offers a considerable number of specialized services in the area of alumni program administration, educational fund-raising and editing. Among them are district, national and special conferences, training institutes, manuals and a constant flow of information which will keep your people advised of new trends and techniques in alumni programming and educational fund-raising.

Staff Personnel and Operations

The single most important part of your alumni support program is the staff person responsible. He or she must be enthusiastic and dedicated to the purposes and goals of the institution, and have an overriding belief in the ability of strong alumni support to help meet those goals. The staff director need not necessarily be an alumnus, nor need he/she be a member of the particular church constituency, although these would be assets in developing rapport with alumni and church leaders.

Assuming you have a good staff director for alumni activities, what about the internal operation of the alumni office? What kind of records do you have? Are they accurate and up to date? Can you get information quickly? Will it be any good when you get it? Your alumni records system will be one of your greatest assets or it will be a millstone around your neck. In any program of alumni support, it is absolutely essential to have a complete, accurate, up-to-date records system which will permit the constant changing of addresses, addition of names, receiving, recording, acknowledging and reporting of gifts.

While we are thinking about records, let's conduct some research into the history of alumni support at your institution. Has there been an established annual fund? Does your alumni association have a dues structure? If there has been an annual fund, how was it conducted—by direct mail, by personal solicitation, or combination? Are giving records complete and accurate? Can you identify the consistent donor and the large donor? Is there a class agent organization of alumni club structure from which you could draw leadership in developing a more effective alumni support program? All these are questions that need answering.

From Attention to Commitment

The whole concept of developing alumni support can be reduced to four words: attention, interest, involvement, commitment.

Before anything can be accomplished, you must have the attention of your alumni constituency. This can be done through a good alumni program of reunions, seminars, continuing education, etc. It can be done through effective direct mail, perhaps a personal letter. In our business direct mail is the basic system. Direct mail as a *consistent, effective* communication with alumni will be the means to gain attention and spark interest in supporting the case for alumni support. You will notice that I emphasize the words "consistent" and "effective." A few weeks ago, the alumni director of a small, church-related college in South Carolina was bemoaning the lack of success in the annual fund, which relies totally on direct mail solicitation. As we discussed the situation, he admitted that their efforts consisted of dashing off a letter two or three times a year when they had time from other duties, or when it occurred to them that few alumni gifts were coming in. Consistent, this ain't!

A real "attention getter" for your alumni constituency is the use of a challenge gift to create wide interest in the college. I am not talking here about the foundation grant which specifies that a certain sum will be given to the college provided the institution raises a specific sum in a stated period of time. These are wonderful, but they are not available in great quality. Rather, I am talking about the kind of challenge gift that all of you can generate. This may be an offer from a wealthy alumnus to give $10 for each new alumni contributor over last year's number, or $5,000 for each $1.00 increase in the average gift, or $100,000 if a specific number of alumni give during the fund year. I have seen all three of these approaches used very successfully to substantially increase alumni support. Not only does a challenge gift attract attention, it also creates interest.

Once you have the attention of your alumni constituency, build their interest. This is the primary function of the case statement, which should be a simple summary of the aims, objectives and needs of the institution which can be realized through alumni support. Build your case carefully—don't panhandle. Your people are entitled to know why you are asking for money and what you intend to do with it. You must give your alumni a reason to want to give to the college, and you must present it in such a way that it will precipitate affirmative action. Far too often, we actually insult the intelligence of our alumni with the way we ask for their support. The best example I can find of how not to ask for support is this classic appeal letter, taken from Charles Cooley's book *The Alumni Fund:*

> Dear Classmate:
>
> Greetings from your old school chum. As if you didn't know, I'm writing about the alumni fund for _____.
>
> Yes, I'm the chairman for our class this year, and it's my job to get you to dig down in your pocket and give some money to the school so that our class isn't way down at the bottom when they figure up how much is taken in.
>
> I don't like asking you for money because you may be hard up, but after all, you know you owe it to _____. So let's get it over with by having a check from you right away. Don't be bashful if your check isn't very big. After all, only I and the people in the office will know how small your contribution is. So send it along soon.
>
> Very truly yours,

Ladies and gentlemen, this is not a fictitious letter, but an actual appeal which went out from a college that shall remain nameless. I would suggest that the content of this letter did not generate much interest in supporting _____.

On the other hand, let me excerpt a paragraph from one of Earle Ludgen's award winning letters which presented the case for the 1955-56 University of Chicago campaign:

> ". . . Instead of looking to the past with pride, let us look to the future with hope. We who have cause to be proud of the University have the means to implement and increase that pride by giving to The Alumni Fund, giving as generously as our means permit. May I say that this is not an obligation? But if we had asked you in time, would you have sent a thousand dollars to Newton, Galileo or Madame Curie? We say a thousand dollars only wishfully. We are really very grateful for the checks of five, ten or twenty-five dollars . . ."

This is the kind of communication with alumni which creates interest in your case and leads to the next step—involvement. Ideally, involvement should be a continual process within the alumni program, and not just those times when fund-raising is in progress. Alumni are the very foundation of all fund-raising activities within an educational institution. From alumni involvement, interest, and participation will come bequests, corporate gifts, special gifts.

Finally, comes commitment. Everything we may have done up to now to attract attention, create interest, and foster involvement becomes academic if it does not precipitate affirmative action from alumni in support of the college. Commitment is the end result of our total strategy. If our program is sound and if we have presented a good case, we are now ready to sit back and count the checks as they come pouring in.

A number of small colleges are doing very effective jobs in alumni support. Among the leaders are Allegheny College, with $409,000 from alumni last year; Birmingham-Southern with $411,000; Carleton with $645,000; Centre College with $303,000; Goshen College with $819,000; Knox College with $1,822,000. These are just some examples picked at random from the new *Survey of Voluntary Support of Education,* just published by the American Alumni Council and the Council for Financial Aid to Education.

The development of alumni support is no easy task. It requires total commitment on the part of the top administration of the institution. There must be a strong desire to have an effective alumni program and the staff people responsible for it must be given the tools to build such a program. These tools include personnel, equipment and operating budget. You will not get something for nothing. In order to develop a really effective program of alumni support, you must be willing to spend some time, effort and money. Without any one of these ingredients, your success is going to be minimal.

May I be so presumptuous as to leave you with this quotation from Daniel H. Burnham: "Make no little plans, they have no magic to stir men's blood and probably themselves will not be realized. Make *big* plans; aim high in hope and work, remembering that a noble, logical diagram once recorded will never die, but long after we are gone will be a living thing, asserting itself with growing intensity."

MAXWELL HAHN

Foundation Approaches for Small Colleges

If you will permit me, I should like to assume this is my first day in my new position as director of development for Parvus College. President P. H. Dee looks across his desk and says, "The first thing I want you to do is to draft a sample presentation to the big national foundations. I was disturbed that Ford overlooked us when it was making its challenge grants around the country. The presentation should be aimed at the big fellows. To give you a good start, here is a list of large foundations I clipped from a weekly news magazine.

"I don't know why the Duke Endowment should not send us a large check. It has assets of around seven hundred million dollars and donates fifteen million dollars yearly. Duke should be able to make us a one-time grant of one hundred thousand dollars.

"Then there is the Charles Stewart Mott Foundation. This article says Mott gives seven million five hundred thousand a year.

"And the Pew Memorial Trust is listed as contributing more than four million annually.

"The Woodruff Foundation (that's soft drink money) also gives over four million a year and the Phoebe Waterman Foundation (Rohm and Haas) around a million.

"Of course, we should not overlook such well known foundations as the Carnegie Corporation, the Rockefeller Foundation, Rockefeller Brothers Fund, Kellogg, Sloan, John A. Hartord, Danforth, Kresge, and the various Mellon Foundations.

"I have a faculty meeting now. Perhaps you could bring in your draft of the presentation next Monday at three."

These introductory remarks, you will recognize, are overdrawn. Today's college presidents in general are too sophisticated to assume foundation appeals can be manufactured routinely the way auto fenders are stamped out in Detroit.

Research Needed

President P. H. Dee mentioned several major foundations. I need to know a great deal concerning each of them to decide which, *if any,* Parvus College should approach.

Take the Duke Endowment. If Duke's annual report is not in the college library, I will send for a copy. While I am waiting I will consult the Foundation Directory prepared by the Foundation Library Center and published by the Russell Sage Foundation. The Directory will provide important clues to the operation of the larger foundations; it is a tool every fund-raiser will want close at hand.

I need more information than the Directory can provide in a single volume covering so many thousands of foundations, but we do learn a most important fact. Duke Endowment, the Directory reports, is largely restricted in operation to North and South Carolina. Only income may be spent and the first twenty per cent must presently be accumulated. Of the distributable income, thirty-two per cent is assigned to Duke University, fourteen per cent to three other named educational institutions, thirty-two per cent to hospitals, ten per cent to institutions for orphans and half orphans, ten per cent for building and operating rural Methodist churches, and two per cent for ministerial pensions. Those items total one hundred per cent of distributable income.

The Directory does state that certain additional sums received by Will are under different stipulations, but unless Duke's current annual report indicates great receptivity to programs such as my college desires to finance I won't waste time, paper and postage, toll calls and travel on Duke.

Is the situation different with the Charles Stewart Mott Foundation, the one mentioned as giving seven and one-half million in a recent year? Yes, it is different. Mott's area of concentration is not the Carolinas but Flint, Michigan. I either would study Mott's annual report—if it publishes one—or review carefully its Form 990-A report to the United States Treasury, a copy of which is on file in the Foundation Library Center office in New York, to see whether there is justification for investing time and effort on Mott.

What about the Pew Memorial Trust? Phoebe Waterman Foundation? Woodruff Foundation? Each needs careful study.

Waterman has given to colleges but, before I used any

of my college's resources in seeking a grant I should want to ascertain whether it only gives in Pennsylvania and the Philadelphia metropolitan area.

A former associate at the Field Foundation who knew I was preparing this talk wrote,

> "Out of my experience working with you I did get one very strong impression and that is that the majority of applicants for grants don't do their homework. They don't bother to find out what the foundation gives to, the amounts it gives, how it wants applications made, when it gives, and other pertinent information."

To get results, to use your time efficiently and economically, you must know your market.

Family Foundations

There are five types of non-governmental plum trees in the foundation orchard. Most numerous are the family foundations. Competent authorities say there are more than 16,000 family foundations in the United States. It is possible that many of these have been started with a two-pronged purpose: (1) to handle much of the current giving of the principal or his family, and (2) upon the principal's death, to receive various bequests not excluding non-liquid assets such as works of art, securities without a ready market and possibly real estate upon which the estate otherwise might have to pay taxes of inconvenient magnitude.

The fact that a family foundation may have been set up as a tool of good estate planning doesn't keep it from also being a good prospect for small college fund-raisers.

How can you distinguish a family foundation from other types of foundations? The family name alone isn't definitive. The Carnegie Corporation, the Rockefeller Foundation, Kellogg and other major funds are a distinct type which will be taken up later in this discussion. The Field Foundation, which I have been associated with for more than a quarter century, never has functioned as a family foundation. Wisely, the attorney who served as godfather insisted that non-members of the Field family should be in majority on the board of directors. Further, when the board felt there were sound reasons for opposing and voting down a proposal supported by the donor, the board was free to do so.

At New York University's seventh biennial Conference on Charitable Foundations, a panel agreed that the most universal criterion of a family foundation is that it is family dominated. Other clues as to whether it is a reasonably typical family foundation include: (1) the extent to which the trustees are family members; (2) the origin of the foundation, namely, was it a particular family's wealth; (3) the size of the foundation, for family foundations tend to be small; (4) the type of available funds, namely, annual contributions from the family versus a capital fund or corpus; and (5) size of staff—the vast majority of family funds have no professional staff.

Your approach to a family foundation will be much the same as your appeal to an individual special gift prospect. It should be individualized. Let me make myself clear. I am not talking about the trimmings, a presentation with a cover page reading, "This memorandum has been especially prepared for Mr. Adam Plum, president of the Plum Tree Foundation." I am talking about an approach to Mr. Plum arrived at after you have gathered all the information you can about his interest, his desires, and what is likely to impel him to recommend a generous grant.

Company Foundations

The family foundation then is one of the prime prospects for the small college. You also will wish to give careful attention to the company foundations, such as those established by Sears Roebuck, the Santa Fe Railroad, International Harvester, and Smith, Kline & French. There are more than seventeen hundred company foundations but, since only fifty or so issue annual reports, you will have to track them down in the Foundation Directory and follow this up with a Foundation Library center visit to continue your research.

F. Emerson Andrews, former executive of the Foundation Library Center, in his book *Corporation Giving* points out that it is easier for a company to contribute to a college for student aid, for basic research, and for special institutes and other "frills and extras" than it is for faculty salaries and college running expenses. Rather than give to a few colleges and irritate a thousand others, the company gave to none. Federations such as the state-wide college funds and the United Negro College Fund serve as instruments to enable companies to aid some colleges. The national companies, Mr. Andrews points out, are still looking for a satisfactory way of apportioning contributions to educational institutions.

Some years ago International Harvester prepared a contribution policy statement. The following is from the section on educational institutions:

> "Many educational institutions today seek corporation financial support. Such support to educational institutions, we think, can be looked upon as a proper expenditure of corporation funds where it brings direct or indirect benefit to the Company. We believe such support must be limited to assistance of specific research projects, scholarship and fellowship programs and loans of, or discounts on purchases of, machinery and equipment by these institutions, provided any crops that may be produced by the institutions are not sold in competition with crops produced by our farmer customers.
>
> ". . . such support as we give to educational institutions usually is to privately endowed schools, not supported by tax funds, and which are generally located in cities where we have large operations. We are in position to benefit from such support. Amounts of such contributions are related to the size of the Company operation in the community and the anticipated benefit."

Some of the items Harvester's Contributions Committee considers in determining whether a contribution will be made are:

1. Will the contribution benefit the Company, directly or indirectly?
2. Will the request likely lead to similar requests in the future?
3. What will be the public reaction if we give or do not give?
4. Are some of our large customers interested in the solicitations?

5. Will the contribution advance the community and public relations of the company?

These are only a few of the questions one company asks in determining whether to give. You will increase your college's chance of getting a company foundation grant by looking at your appeal from the company's point of view.

Community Foundations

In some cities or states the small college may be able to turn occasionally to a third category, the community trust or community foundation, for specific assistance.

The profile of a community foundation, as given by the Council on Foundations, Inc. (formerly the National Council on Community Foundations, Inc.), is set forth as follows:

> "The community foundation is a facility to insure safe management and wise use in perpetuity or otherwise of all types of gifts, charitable under law, made to benefit a specified geographical area. . . . The funds in a community foundation are not the gift of a single individual or family but represent an indefinite number of gifts and bequests from various donors, received at different times and for varied charitable uses. . . . Each separate fund within the foundation is held in trust by one of the foundation's trustee banks. . . . Payments from income, or in certain cases from principal, are directed by the distribution committee or board."

One community foundation has active capital of more than one hundred million dollars. Three others are each around the seventy-five million mark. At least twelve have active capital in excess of fifteen million dollars. More than fifty are each above the one million dollar level.

New Mexico, so far as I know, does not have an active community foundation although individuals in Albuquerque have been looking into the idea from time to time. There are community foundations from coast to coast.

Special Purpose Foundations

The fourth type of foundation is the special purpose fund. Some of these have broad charters permitting them "to promote the general good of mankind" but have channeled their giving largely into one well-defined program area such as aiding young medical school faculty members who decide to dedicate themselves to teaching and research careers. Other special purpose foundations may pour their money into a specific art museum or conservatory of music named for the donor. Still other special purpose funds may concentrate on helping the poor boys of the donor's home town go to college. And others may focus on helping educational institutions of a specific religious faith.

It would be paradise if I, as the fund-raiser for Parvus College, could feed the needs of the college into an IBM computer programmed with the giving pattern of the major foundations. In a matter of minutes I would know which foundations to approach. Since such IBM assistance is still a pipedream, those of us trying to obtain foundation grants will have to do a lot of old-fashioned spade work.

General Purpose Foundations

The fifth category of non-governmental foundations includes the Ford Foundation, the Carnegie Corporation, the Kellogg Foundation, the Rockefeller Foundation and hundreds of others. These are the "standard" foundations with professional staffs and respected boards of trustees that come to mind when someone says foundation. F. Emerson Andrews dubs these the general research foundations. Sometimes they are called general purpose foundations.

Your first step in deciding which of these to approach is to read the annual report. If you think the Ford Foundation is a prospect, read McGeorge Bundy's introduction to the 1967 report. Then turn to the Statement of Appropriations for the most recent year. The grants are classified in approximately one hundred different categories. I found under Ford's National Program to Strengthen Preparation of teachers for elementary and secondary schools that three colleges which are probably small received grants. There also were one or two listed in the co-operative work-study programs under Vocational Education. Others appear under "independent study programs" in the Curriculum and Materials section.

Predominantly Negro colleges seem to have the inside track currently at Ford. One group received grants for educational management studies. Some of these same colleges, as well as others, received faculty study awards. Some had grants for workshops for cooperative planning and there were one or two special purpose appropriations.

Major developmental grants to liberal arts colleges are listed on page one hundred of Ford's report.

If the foregoing seems tiresome, I cannot help it. You must know your market to get foundation grants and this requires just plain digging. Endless reading of the reports of other foundations also is in order if you are to learn where you are likely to strike gold.

No Easy Formulas

I wish I could offer you an easy formula for getting foundation grants. I cannot. I can only say again, know your market and, second, know what you are selling. Have in mind and have on paper a hard-hitting, convincing, timely statement setting forth the distinctive characteristics of your college and what it can do, especially in relation to the current program interest of the foundation you are approaching.

What are some of the books and other publications I should like to have if I had responsibility for seeking foundation grants? My list would include:

The annual reports of the foundations I intended to approach.

The latest edition of the *Foundation Directory,* prepared by the Foundation Library Center and published by the Russell Sage Foundation.

Seeking Foundation Funds, a booklet by David M. Church and published by the National Public Relations Council of Health and Welfare Services, Inc.

Philanthropic Foundations, by F. Emerson Andrews

and published by the Russell Sage Foundation.

A study of *Company Sponsored Foundations* by Frank M. Andrews and published by the Russell Sage Foundation.

Foundation News, bi-monthly publication of the Foundation Library Center.

Proceedings of the New York University Biennial Conferences on Charitable Foundations, published by Matthew Bender & Co.

Newsletters to watch, IF you can get on the mailing list, are: the "Philanthropic Digest," a news summary issued by the John Price Jones Company, Inc.; "The Bulletin" of the American Association of Fund Raising Counsel, Inc.; and the occasional memoranda to members issued by the Council on Foundations, Inc., New York.

You will find most of the foregoing and other valuable sources, including copies of Treasury Form 990A for specific foundations, many of which do not publish annual reports, in the Foundation Library Center.

The "Annual Fund," as it has become known within the short period of a decade—and that is indeed a short time in the history of philanthropy—is the most challenging, all-embracing, and pervasive program in fund raising! And to this list of adjectives add one more characteristic, it is also the most exhausting —as well as exhaustive—program we can talk about. . . .

The Annual Fund is an extraordinary challenge because the trend is to continue these programs in spite of other fund-raising programs that may be in progress. Any experienced fund raiser knows that this kind of multiple fund-raising activity calls for the keenest finesse, a subtle capacity to gain your own ends while appearing to cooperate with others, and, in the end, the answer to prayer. . . .

The Annual Fund is an all-institutional effort to gain financial support. It is no longer the exclusive effort of the alumni office, but of the institution's development office, and goals and procedures, if not identical in form, are at least the same in their intensity as are those in any capital fund campaign.

The Annual Fund is "all-embracing." Today the alumni are still the prime public to which the annual appeal is directed, but these appeals are now also directed to parents, corporations, purveyors, business interests of all types, friends, and foundations. In some annual funds, grants for special projects under one title or another from some state or federal source are considered valid objectives. This certainly is an all-embracing prospect list.

Annual Funds have become pervasive. I have already indicated how all-embracing the prospect files are, but by "pervasive" I refer to the objectives of annual funds. First, they now are hoped to be standardized means of supplying an "X" amount or percentage of the annual budget of the institution. Second, the annual fund objectives are closely tied to the more comprehensive, long-range programs of an institution. In this respect the objectives of the annual appeal prevades the philanthropic needs of the institutions on all levels, and when such objectives are created, the processes of fund raising that follow will be as comprehensive.

Finally, the Annual Fund, as an activity, is the "most exhausting" kind of fund raising in which a person could be engaged. The reason for this is the simple process of repetition that permeates the whole concept, obviously, as indicated in the name.

An annual appeal is unending . . . plans must be laid for the coming year before the current year's achievements can be appraised. This involves planning on a scale that is new in most institutions and expensive in all cases. It means that personnel must be available to manage the offices in which the various categories of prospects are listed, changes made, and records kept. Most annual appeals, especially in smaller institutions, will fail or falter seriously at the point of allocating money for enough personnel to do the task . . . . An institution must accustom itself to the idea that these expenses are permanent. Any plan of fund raising that is unending, repetive, and continuous calls for a flow of ideas in addition to the routine processes that keep an enormous file of people and prospects alive.

LOWELL H. BRAMMER
"How to Implement Annual Giving for the Small College"

WILLIAM F. LEONARD

Developing Corporate Support for Small Colleges

The following story is attributed to a prominent industrialist and is supposedly true. Mr. O'Shea, a man of great wealth, made a trip to Ireland and was promptly besieged by a group of well-meaning Irish fund-raisers who were out to raise funds for a home for homeless men. Mr. O'Shea agreed that the cause was a good one; he thought that since he was on an extensive goodwill tour he was rather over a barrel, and he agreed to make a contribution of $50,000. The next day there was a banner story on the front page of the local Irish press indicating that Mr. O'Shea had made a grant of $500,000 to this home for homeless men; whereupon the fund-raising group called on Mr. O'Shea and with great apology and fanfare said that this, of course, was a mistake, a typographical error and so forth, and that the group would be glad to see that a retraction was placed in the local press the next day to the point that indeed he had not made a contribution of $500,000 but of $50,000. Mr. O'Shea thought for a moment and said, "Well, gentlemen, I will make the contribution of $500,000 with this proviso: when the building is complete, I reserve the right to dictate what the inscription will be over the archway entrance to this building. But this must be kept in great secrecy, to the point that no one knows it except the mason who inscribes the inscription; and it will be known to the general public only on the day when I come back to Ireland to unveil this new facility. In due course the building was completed and the inscription was put on the archway. Mr. O'Shea went back for the ceremonies and the local citizenry was there; as is the custom in the country, of course, the religious community was well represented—the bishop, the monsignori and so on; and after the introduction by the mayor and with due compliments to Mr. O'Shea, the string was pulled and the inscription read: "I was a stranger and you took me in."

I am not suggesting that it was not a typographical error in that newspaper story; I am not recommending it as a means of attracting new support to your cause; but I am suggesting that perhaps you have to use more ingenuity and sophistication than has been utilized in the past.

Search Local Community First

The first inclination is to take the first hundred leading companies on the *Fortune* list and earmark them for a certain target grant. We maintain that it is not quite fair to pick on just a few companies. Now it has happened in the past that an educational institution—a big one, a small one, any size—will get the *Fortune* list and just go down the line and send a blanket letter out to all these companies and hope the money will flow in. Here, for several reasons, you do yourself more harm than good.

It is hard to keep up with who is running the show in the company. We are still getting letters directed to our chairman, Harvey Collisson, who has been dead for three years.

Another approach is: "When we are in New York, let's call on Leonard, or Bill Turner of the U.S. Steel Foundation, and we'll grab them for ten grand apiece." And so it goes. This is a rough route to take.

Now for the constructive side. You have to start at the grass roots level. If you are going to get money from an industry, the worst route you can take is to run to New York or Detroit or another headquarters city. But if you have in your back yard a plant of a major company, or a plant of any company, the thing to do is to start at that level. I'll get into that in more detail later.

From the standpoint of CASC's getting money from national companies, there's only one real route, and a good breakthrough has been made there by Al Hill and Duane Hurley and others. I think the type of activity CASC should address itself to should be the development of programs that will help the member colleges to help themselves; and if you could come up with an imaginative kind of program that would uplift the level of the smaller

colleges—and I don't mean here asking for a million dollars that will be distributed to the CASC member colleges, but asking for money that will be used to develop program activities to help the colleges to help themselves—this is the kind of thing that, I think, would have interest for us and for other corporations.

Now there is an opportunity which would be analogous to that of the Independent College Funds of America, whereby you could get support from a national company. ICFA, as you know, operates on the state association program. I see no reason why CASC, on a state basis or a national basis, might not organize a fund-raising activity to which national companies would contribute. It is very hard for a national company to pick out one of your colleges for support; but if you had a state program or a national program, I think we could justify supporting it. Now you may say, "This is peanuts." I had lunch a couple of weeks ago with Byron Trippett, the new president of ICFA, which is now raising $15,000,000 a year, and I said, "You can raise $50,000,000 a year if you get the program effort behind it." It has been proven in Virginia: Leigh Booth has raised $1,000,000 a year for the state association program for seven colleges. A separate organization was started last year, an association to raise funds on a joint basis for junior colleges. The first year they raised $62,000; last year they raised roughly $100,000. So if you put the expertise and work behind it, it can be done.

Imaginative Projects Get Results

Today there is much talk about the urban coalition concept, the consortium of business, labor, government, education, and social welfare agencies. There is going to be opportunity for you people to get yourself identified with these activities in your area, and it will prove to be in your best interest to become involved.

Let me give you a couple of prepared comments which I put together before this workshop—comments that I think may sum up what I am getting at about this broadening opportunity for the small colleges:

"There is a growing trend in the area of corporate support to direct funds toward specific projects that are imaginative and that might serve as a catalytic agent for others. This trend has been further emphasized by the fact that education can play an important part in finding solutions to the urban crisis and related problems."

An example: Frankly, we were somewhat over a barrel to participate in the $160-million program of the University of Chicago. Every company in America was. Chicago is probably one of the five leading institutions in America. One hundred and sixty-seven of its graduates have become college presidents. Rather than have us just make a grant, though, I went out there. We looked at five or six areas where we might put our investment. We wound up by giving Chicago $75,000, of which $60,000 was earmarked for the first year of an experimental program to develop leadership in Negro education and $15,000 was to help them to raise more money to fund the program. It's a very sophisticated program. Now mind you, there were no fancy brochures on this; the whole thing was summed up in three typewritten pages. The high command of the University was so impressed with the thrust of the program that our grant sparked the University into putting three-quarters of a million dollars behind this activity. This is the kind of thing we are looking for. I don't take credit for this; the dean of the college really thought up the concept and he deserves the credit.

The next point is that, with the growing interest of youth in devoting more time and effort to public affairs, there is increased opportunity for the academic community to develop programs which will be productive in this area and merit the support of industry. With a large segment of the student population eventually becoming involved in business and industry—directly or indirectly—it is important for educational institutions to keep up-to-date with the programs and trends in these areas in order to develop programs that will attract and justify support from the corporate community. Colleges should seek situations where it is possible to establish programs where there is a common interest that has the potential of being productive for the community, for the company and for the college.

"Ten Commandments"

Some years ago, about 1961 to be exact, I gave a talk before the American College Public Relations Association, and having listened over the years to a long string of college presidents coming in to see me with a syllogism which went something like this: "We need money. You have money. Therefore, you give us money," I cited, at the risk of being pontificial, *Ten Commandments* to gain corporate support. I'd like to start with number ten, and then I'll give you the other nine. (These have been reprinted by the American Association of Fund-Raising Counsel and are available.) I say ten first, because ten fits into what I said and, really, involves cultivation.

Ten is as follows:

> "Don't look for money. When appropriate, seek business executive participation in your program."

Roger Fritz, then head of the John Deere Foundation, wrote me and said:

> "Dear Bill. Thanks so much for your copy of *Ten Commandments* for getting corporate support for education. They are all basic and worth repeating at every opportunity. The last point is particularly significant, it seems to me. I have been contending for some time that most colleges miss the boat by not being aggressive enough in the matter of seeking participation from businessmen. The schools enjoy a great psychological advantage in this respect. When a need for service is properly presented, be it the use of faculty consultants, college-sponsored seminars in specific areas of interest to businessmen, providing relief time for volunteer services as trustees, alumni officers, fund-raising solicitors, seminar leaders, etc. or the encouragement of retired personnel to consider either administrative or teaching jobs at the college level, many businessmen are flattered to think that they can be of assistance. Some companies, as you know, have even concluded that such experiences fall within their definition of management development."

Here's one more from Fred Osborne, head of the Smith, Kline and French Foundation:

"Dear Bill: Many thanks for your *Ten Commandments* to gain corporate support for education. I think they are all excellent. I have a couple of small commandments of my own which run something like this: 'Observe business amenities. Call for an appointment and keep it. Be brief and to the point. Know your story. Don't, by your inefficiency or carelessness, provide causes for turndown. Be enthusiastic, not apologetic.' "

Now here are the other nine; they are just common sense, there's nothing earth-shaking about them.

1. Know the company whose support you seek so that rapport can be established through your interest and knowledge.
2. Establish a two-way street by giving your prospect a more specific idea of what you can do for him before you ask him what he can do for you.
3. Speak not just for yourself, but for the broad need and justification for corporate support of education.
4. Cultivate and get to know better people in business and industry so that you can learn to speak their language.
5. Don't shy away from restricted grants; they may open the doors to substantial long-range unrestricted funds.
6. Team up with other educators and businessmen in developing plans to spread the support base.
7. In contrasting the smaller or medium-sized company, don't discourage some support by trying to make a killing in one place.
8. Don't feel that you always have to see the corporate giving officer when you are in town; he may be very busy and an unexpected visit, particularly, may do more harm than good.
9. Don't spend a small fortune on fancy brochures which most of us don't have the time to read. State your story on one or two pages.

To all of these I think I would add flexibility and open-mindedness.

Case History

I want to give you a case history, so that this isn't just a sermon, and you go away and say "Leonard doesn't know what he is talking about; he's giving us a lot of theory."

Recently I had a long talk by telephone with Dr. Martin K. Peterson, the president of New Haven College, in Connecticut. This is a school, mind you, that was started in 1920 under the auspices of the YMCA and was sort of a fill-in school for people in that area who wanted some higher education. Yale University gave the college a hand. There is a lot of industry in New Haven—Olin is the biggest employer besides Yale—and there are other colleges, so that there is competition too. Since 1960, when Dr. Peterson arrived, the college has really gone through the roof. Let me read you the letter he wrote to us—and this is the kind of letter that gets the money. It is a very simple thing, but he has backed it up.

"Dear Mr. Leonard: I am addressing this letter to you in your capacity as secretary of the corporate contributions committee. We understand from Robert I. Metcalf [he had already gone to our local man, he had gone through channels] that you are well aware of the close relations that have existed for many years between Olin and New Haven College and that the company has benefited from this relationship. At the present time, New Haven College, in order to adequately serve the needs of its students, area industry and the community, has embarked upon a physical expansion program which is unique in its forty-year history. After operating for most of that time within Yale University, essentially as a part-time evening college, New Haven College has purchased a 25-acre campus and three buildings with over 100,000 square feet of usable floor space. There it will expand its services to the community in both part-time and full-time education. Thus the need for funds in substantial amounts appears for the first time in the history of the College.

"Because of the long-standing relationship with Olin and the fact that Olin and its employees are the largest industrial users of our services, we are making our first major industrial appeal to your committee. Being aware of the very fine Aid-to-Education Program [flattery always gets you somewhere!] which Olin Mathieson has recently established, we are submitting the attached brochure of information about the college in support of our request for a corporate contribution of $35,000."

The rest is just sign-off, but the letter had plenty of back-up, and I'll just read you a few headings:

Number of Olin employees registered at the College
Faculty Representation from Olin Mathieson Chemical Corporation

And then just this one paragraph:

"All community colleges with large evening programs depend a great deal upon educationally trained business and professional people in the community for their part-time faculty. This is not the less true of New Haven College. The College feels that the opportunity for part-time teaching on its faculty is mutually beneficial to both the instructor and the institution. For the instructor, it provides an opportunity for individual self-expression and professional development in addition to supplementary income. For the College, it provides a source of qualified professional talent and skill without which it could not operate. Most companies are pleased to have their staff personnel engage in part time teaching, always, of course, with the provision that it not interfere with their primary responsibilities to their company."

Then he goes on with an elaboration of *Special Education and Training Programs Developed for Olin Mathieson*. Here there was a series of brochures.

We gave him the requested $35,000. There was a time for several years when we were giving more money to New Haven College than to Yale University. The College was accredited as a two-year college by the New England Association in 1948 and as a four-year college in 1966. In the meantime New Haven College earned *and received* industrial support.

I think the interesting point here is that this college had shown industry and the community that it could be very productive and useful even before its four-year program was accredited.

E. BRUCE HEILMAN

Now What? Where Do We Go From Here?

Workshops are anything but new for those of us who are educators. Certainly concerns about effective fund-raising are quite natural to most of us. The fact that we are completing another workshop, although it's a very special one oriented specifically and planned especially for small colleges, does not guarantee that we will go away from this place committed to all that we now know to do. The fact that this workshop is on effective fund-raising could give us even more cause to be careless in our commitments to implement that which we have absorbed during these few days.

I am very inclined to feel that many may be saying to themselves, "So what?" For those who are, let me suggest a more positive approach. Rather than "So what?," we could be saying, with a sincere hope of finding the answer, "Now what?" After all, we have discovered, if we didn't already know, what we have to sell, why we haven't been selling it, what's wrong with what we're doing, how we can change that, the nature of a development office and officer, how to succeed with capital campaigns, annual giving, alumni support, direct mail activities, foundation and corporation approaches, federal programs, deferred giving, and all of the rest. At this point, how can we do other than to ask the questions, "Now what? Where do we go from here?"

Where we *go* from here is the measure of the success of our workshop. Significance is not in programming or presenting or listening or asking questions or even in knowing how and what, but it is in the doing and getting done those things which we have come to know as essential to "Effective Fund-Raising." Where we go from here, practically speaking, will be home to our colleges. Home base is always the place to start or to start anew. This is as true in college administration and/or fund-raising as in baseball. We begin where we are and with what we have. We cannot pick up the programs of other colleges. We cannot carry with us the combined ability of all the experts who have shared so broadly with us. We can only begin with everything applicable to what we are, who we are and with all the assets and limitations which we possess and which our college has inherited.

This total effort presupposes that each of us can be encouraged to do more than we have done. Some have been doing a great deal in effective fund-raising already. Others have done very little. Some of us will be inspired to greater efforts and successes. Others will not. Whether you are a trustee, a president, a dean, a business officer or a development officer, you are the one most responsible for wringing the maximum benefit out of all you know to do along this line.

I suppose each one of us wonders why his college doesn't take advantage of all the grand opportunity for success in the world. If only the president or the dean or the development officer or the business officer or the trustees or the faculty or, in fact, anyone other than whatever I am at a particular time in history, would act in the interest of success, nothing could stop us. Yet, most of us know that success comes in any college only when we personally proceed in that direction. It is not easy to accept this fact and to know at the same time that we do not achieve total success alone. But it is clear that, if we can dislodge the rust from our own administrative channels, remove some of our own mental blocks and soften our hardening of the categories, we will clear the way not only for our own progress, but for some others who have found us directly in their way.

Where Do We Go?

I believe we have been fairly and squarely challenged and informed, if not chastized and inspired and even forewarned. We cannot be satisfied to blandly respond with "so what?". For those who do, I might say as others have said, it is your own funeral. Where do we go from here knowing "What we have to sell?" Will we presume that our service will be sold for us? I expect we would like that to happen, but we know that it will not. Each one of us must be challenged to go out and speak with confidence about what we are doing and why, so that we may attract the necessary resources to perpetuate our future with strength. I believe that the end result of what we've come to know about what we have to sell must be a deeper conviction on our part that the small

college is worthy of the work and the words necessary to sell what we are and what we are about.

Where do we go from here, knowing that fund-raising has become the number one administrative challenge for the small, private college today? Where do we go from here when we know that resources are key to the future of our colleges and to an academic program of strength; qualified faculty members; the recruitment, selection and retention of students; adequate facilities and equipment; and innovation and advancement of significant and pertinent processes and procedures required in the educational world of today?

Where do we go from here, knowing the extreme difficulty in employing competent development personnel? Do we give up when we discover the dearth of qualified persons and the impossibility of competing with salaries often far above those of other key administrators? Do we give up, or do we, in spite of all these circumstances and conditions, proceed to train or have trained those whom we have available or can make available or find to do the job? Where do we go to employ young inexperienced staff members on campus or off who have potential for leadership? And how do we give them know-how and finesse in doing the job of fund-raising? We have been given many answers to these questions and, as a result, we can better discover new approaches and develop new ideas on our own.

Where do we go from here now that all the elements of development and fund-raising have been projected on a foundation of clear-cut goals and objectives, now that an understanding of the nature of the college and its program are known to be central to fund-raising and now that we perceive an academic and a campus blueprint as critical to selling the college?

Where do we go and what will we do after having learned that the development officer must possess an understanding of and an appreciation for the weaknesses of the college as well as the strengths? That he must grasp the techniques of development and fund-raising as expressed in the literature? That he must gain specific know-how in deferred giving, capital giving, annual campaigns and alumni fund-raising? That he must also have the inspiration and aspiration that comes from having dreamed dreams and seen visions so that they may be put into reality? Will any president, dean, business officer, or trustee keep him in the dark or treat him as less than their counterpart? They won't if they want their college to be successful.

When leading citizens in education, administrative and fund-raising come together for the purpose of pooling their knowledge and information, they can make come alive the process of doing the job that needs to be done. By pooling the resulting know-how, the effect can be multiplied many times over so that it is much more than the sum of all its parts in its impact on the college, which through the administration and development staff, can be tremendously effective.

It is so easy to say "So what? I've heard all this before." But have we *really* heard it? Perhaps the things we have needed to hear have fallen upon passive ears which are only now becoming sensitive. Some of us may be at the point of our last chance to respond to all of reality which is being said about the small college. One can only fall so far behind without falling out completely. Someone said, "If you don't already have a crisis, you had better create one," and if you don't know you have one, you'd better discover it when you get home.

How can anyone go anywhere but aggressively forward in a development program after having heard the experts "crack the whip," so to speak, concerning the need for long-range planning that fits all the pieces together and demands the initiation of programs to make happen that which is planned.

Where do we go from here? Will we wait until our accrediting associations force us to build models and to project our destinies, or will we move ahead on our own to gain stature as we build strength on strength rather than size to mediocrity? Will we continue to operate on a hit or miss basis, if, in fact, we have been like the paramecium bumping our heads against the obstacles until, by trial and error, we accomplish our goals, often too little and too late?

Have we defined or will we define the role of the fund-raising officer? Will we plan our work and work our plan? Will we strive to identify and cultivate our constituents? Will we attract corporate and foundation support and give our alumni just reason for making efforts in our behalf? Do we have the determination to create programs which will vastly elevate our annual resources? Can we expect to sell our colleges to others if our own graduates cannot believe enough to support us? If they do not see us as worth perpetuating, then likely others will not be convinced.

"So What?" if our trustees take us and our institutions less than seriously? Why should we take the time to educate them to their responsibility in development and to the significance of the college they represent? Must we not decide what we believe the role of the trustee to be in development, and then, as an administrative team, sell that approach or at least make effective a compromise of the trustees' willingness and our desire?

Where do we go from here in deferred giving? Where do we go from here when we know that activities in fund-raising are succeeding all around us? Where do we go in federal relations? Have we not the responsibility for portraying the courage to confidently invest in programs that will produce only after they are instituted knowing that money will follow investment and will not come before? Do we have enough faith in our future? Do we remember that the most privileged person in the world is the one who has faith.

Can we any longer preach needs or sell buildings or raise money, knowing that the real requirement is to analyze our colleges and sell that which we are? Will we remember to tell others how we can satisfy their needs rather than voicing ours? Will we sell strength rather than poverty? Will we remember that people are concerned with what *they* are concerned with and not necessarily with what *we* are concerned with?

Selling the College

A thread that runs true through every conference on fund-raising is the fact that garnering support involves selling. Unless every key administrator and trustee is prepared to sell his college, then that college is in great jeopardy. The most important thing to do when you leave here, and on which your future depends, is to develop and design a rationale of why your college should continue to exist. You had better know what you want and why. You had better prepare and publish your story and tell it consistently and confidently. You had better believe in your product. Remember, the two shoe salesmen who were sent to Africa to probe the market possibilities. One returned a cable, "Forget it. Four out of five here wouldn't know a shoe if they saw one." The other responded, "Send immediate reinforcements. Almost everyone here needs our product." Which kind of representative do you send out from your college?

I can cite some of the things we must say and make stick before the many techniques of effective fund-raising can be applied successfully. You could build your list, but let me give you mine and then you go out from here determined to add all you know so that you can preach the gospel of the small college. Have a sermon for each administrator. Get together on your facts. Encourage your faculty and students to tell the story and, above all, help your trustees to be dynamic and definite about their college. In effect, see that everyone who is a part of the college speaks well of it. Don't be afraid to have a prejudice. Remember what Emerson said, "The crowning fortune of a man is to be born with a bias to some good cause."

Selling is not a one-way proposition. While there must be opportunity to communicate the message to friends and neighbors, we must also allow them opportunity to respond in like manner. We don't have all the answers and we do not know all the needs of our constituents; therefore, we must listen as well as talk, and we must gain knowledge and information as well as give it. Many of our small colleges have strong bodies, but most of them have, too often, projected a small voice; or if their voices have been strong, they have fallen upon too few interested ears. It takes ears of strong men and women to make effective either still small voices or loud clear voices. Listening ears are essential to small colleges if they are to maintain viable, vigorous, dynamic and realistic programs in keeping with the aggressive and progressive growth and development of the world around them.

"They also serve who only stand and wait" is not a truism for the private college today. There was a day when such an approach was not only respectable, but it was, in fact, expected. But the ivy-covered, secluded, cloistered, academic community of the past which might otherwise have gone out of business, has instead gone out *to* business, to industry, to foundations, to the community, to alumni, and to all its constituents. As it has done so, there has arisen the demand that it clearly identify not only what it has been and what it is, but what it expects to be if its future is to be meaningful. It must share its challenges and opportunities and must relate effectively to the world around it.

College and Community

Most small colleges have been a part of the dynamics of their area for many years. A state and an area and a community is unique because of everything involved in its makeup. It's the sum total of all of its parts and more. Without a particular institution, a community, an area, a state, and even a nation would have become something other than what it is. The institutions themselves would be entirely different entities were they not located in their particular settings. So a college and its community and area and state are a part of the warp and woof of each other's strength and personality. Why not let it be known? Why not sell that fact? Why not give attention to the facts at hand which have made both the college and its constituents what they are?

In selling our colleges, I think we ought to let it be known that, by the very nature of their relationship, they, at the same time as their community and area and country, find themselves on the brink of a substantial change, in fact, change is all about them already. And the present simply cannot ignore the demands of the impending future. As I look ahead and anticipate a rapidly growing population in my area, with all of the accompanying requirements, I am concerned that all our unique educational balance, both private and public, shall prevail. Unless it does, I believe that the burgeoning, thrusting vitality which exists there may be less than accommodated by the things that really count.

We at Meredith College have pondered the question of our role in this whole matter. Some months ago we initiated, by trustee action, a study in depth of our involvement in the years ahead. We recognized that our institution could be a part of a broader activity only as we came to know and understand persons, places, and things beyond our own boundaries. Only as we know ourselves and the world around us can we serve well and only then can we justify the kind of support necessary to make possible the fulfilling of our part of the over-all educational responsibility.

So, as the future unfolds, the citizens of our larger community have the right to expect our college to do certain things and to be something special so as to complement the total advancement of the society.

And building upon the questions—Now what?, and Where do we go from here?, I would suggest that there are certain specific things we ought to do when we leave here, and some of them are rather philosophical, some are idealistic. Generally speaking, they are practical and involve recognition of our limitations and of our strengths. First of all, I think all we've learned should help us program all our resources to do a particular kind of job. So, we must be able to enunciate and articulate the business we are about. I believe that we should each provide education which is realistic. A realistic approach to education in my college, which is a college for women,

should take into account that the total labor force by 1975 will be fifty percent women. Young women must prepare for careers, for professions, for responsibilities in the home and service in the civic setting. We think we've done quite well in this area in the past, but with business and industry and government and education and the arts and all of the rest seeking more women, future demands are obviously going to be greater. We should be expected to meet these demands, and it is our responsibility to serve our community and area to that end. We have a part in the progress of our community, and we have prepared a publication which is distributed to all those who are concerned along this line.

Where do we go from here? We must articulate the fact that we are trying to provide education that is idealistic. We ought not to be apologetic for this nor to be less than confident in our reason for being as a result of it. If we are a church-related college, then we should continue to hold high expectations for ourselves and for our students. If our students dress attractively and have good manners and are imbued with high ideals, and they are friendly and have high moral standards, why shouldn't we be proud of the fact and not timid or inhibited by the fact that this may not be what's in vogue at some big university.

We ought to be interested in discipline along with freedom, and honesty and integrity along with excellence; if we are the kind of institution that prides itself on fostering these characteristics. If we are unique and if we are different, and we think we can justify the fact, then we ought to say so. And if our purpose is to enlighten the mind and to strengthen the character and elevate the spirit, and if we want our graduates to be the salt of the earth and the strength of the culture and the perpetuators of moral, spiritual and ethical values, and if we think these things are important to a great society, then we ought to say so. This may have more to do with our success in attracting support for what we are about than any other one fact.

We've heard discussion about utilization of resources and cooperation, and we cannot be all things to all people. Thus, we must go from here to realize that we must be both idealistic and realistic as we plan to cooperate with educational neighbors around us. We need, and can use, the educational resources of the great state institutions, if they are near enough to be useful. We can extend our limited offerings through cooperative programs with other colleges. By this means, we can preserve the atmosphere and environment of the small college and provide, at the same time, the resources of a larger university. No matter how much we have in resources, the principle of constrained maximum will always apply. We must get the most we can under the restraint of limitations. We cannot eliminate all ignorance or do all we should. Only our best.

We ought to go from here to discover the success of our graduates. We ought to know where they are and what they are doing and we ought to tell the story. Some of us are apologetic, for example, because we graduate many teachers. What more significant service could we render than that which multiplies itself many times over through the lives of others. Someone said, "When you educate men, you educate men; when you educate women, you educate families; but when you educate teachers, you educate generations." Some of our colleges multiply their efforts many times over through teachers, who are in contact with literally thousands in their lifetime.

We should go from here and sell our colleges as assets rather than liabilities. Our colleges are likely some of the largest businesses in our areas. We at Meredith have just published for public consumption the fact that our land and plant at current value is approximately $20,000,000, and that over the next three years we will be responsible for $15,000,000 being spent directly in the community. Based upon the formula that every dollar spent generates a turnover of two more dollars, Meredith will generate $45,000,000 in economic activity in the area. No one says "So What?" to that.

We should go from here selling our colleges as investments rather than charities. Few people give substantially to charity, but many invest large amounts in significant enterprises which bring a return to themselves, their communities, or the society of which they are a part. Small colleges get more from an invested dollar than do most large universities. This should be known by those who appreciate such efficiency.

We should go from here telling everyone what our colleges mean to education, to culture, to art and to making our communities better generally. We should accentuate the strength of our leadership trusteewise and alumniwise and facultywise. We should express the fact that we know where we are going and how we expect to get there. Remember, "the world steps aside to let anyone pass who knows where he's going." The same can be said for colleges.

Future Trends

For all these and many more reasons, our colleges can respond to the new forces and problems of a dynamic society in a dynamic age. They must, however, be solvent and solvency is first and foremost an economic problem. The doomsday forecasters are predicting bankruptcy for a third of the independent colleges in the next decade. Obviously, all of us must establish our economic capabilities and priorities. Here, we can ill afford a fraction of "lag," or further neglect of the neglected.

The trend toward concentration of enrollments in publicly controlled institutions will continue, with the public sector claiming possibly 80 per cent of the college students by 1988. Tuition costs will continue to climb at both private and public institutions, and there must be corresponding increases in student aid budgets.

Federal aid will be much more extensive at all levels of higher education and in both private and public sectors. The Federal Government will adopt the technique of block grants for general support of institutions, with a corresponding drop in emphasis on categorical aid.

There will be judicious increases in student-faculty ratios of 15 to 20 per cent in the years ahead—without diminishing educational quality—through the use of

electronic teaching aids, undergraduate students as teaching aides, and increased clerical assistance for faculty.

There will be increased acceptance of academic innovations ranging from new curricular patterns, new academic calendars and new teaching methods to different criteria for admission. The role of college and university trustees will have been more clearly defined and will include more effective ways of relating them to their institutions.

But all of these things will not solve the problem of finance. It will take all the knowledge, tools, and techniques at our disposal, and more besides. That's why I say "successful private colleges are no longer ivy-covered cloisters, but institutions with imaginative leadership which can be counted upon to take the cause to the hearts of all the constituents."

I know that there are many noble causes to support. There are many reasons why our job will not be easy. But what really worthwhile adventure ever was? Most of us have demanded very little of our constituents in the past and, in a sense, we have been a four-leaf clover overlooked. A rising tide lifts all ships and, as those near to our colleges give it strength, so do they enhance their own welfare, whether trustees, graduates, faculty, the community, the church or whatever other patron it might be.

Leadership is rare and beyond price. Very few can really light the way, lead out, set the pace, create the confidence, sustain the mood, and keep things going. We deserve our share of this group. We must have them. We must not abdicate in favor of hospitals, united funds, YMCA's, or big universities. We must demand our fair share. Remember that the most productive capital is that invested in human beings and our colleges are more concerned with people than most.

"So what?" I'll tell you what, and I'll tell you one more time where to go—from here, that is. Go home and continue to repeat the words of Edwin Markham, "There is a destiny that makes us brothers. None goes his way alone. All that we send into the lives of others comes back into our own." And when you really believe it, stand before every public proudly declaring that you have an investment opportunity which will give service and satisfaction worth many times more than its cost. When this is done, turn on all the tools of fund-raising and expect better results than you have ever witnessed in the past.